

**IN THE UNITED STATES DISTRICT COURT  
FOR THE EASTERN DISTRICT OF PENNSYLVANIA**

KATHLEEN M. JUNGCLAUS,

Plaintiff

v.

WAVERLY HEIGHTS, LTD.,

Defendant

NO. 17-cv-04462-RK

Jury Trial Demanded

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## **Introduction**

### **Welcome**

Dear Waverly Heights Employee:

I hope your employment at Waverly will be personally and professionally rewarding to you.

You have joined an organization that strives to provide the best service to Waverly residents and to each other. Our success has been due in large measure to Waverly employees who bring to work a positive attitude, a team spirit, and a sincere desire to achieve our organization's mission and goals.

This *Employee Policy & Procedures Manual* has been prepared to assist you in understanding our expectations, policies, procedures and benefits. Please read it carefully. While it is not a contract or guarantee of continued employment, it will be helpful to you as you learn about our organization and your job.

I wish you much success here at Waverly and look forward to your contribution to our organization and to the lives of the residents we serve.

Sincerely,

Thomas P. Garvin

President, Waverly Heights

## **Introduction**

### About Waverly Heights

Waverly Heights is a private, non-profit Continuing Care Retirement Community. Our campus is situated on 63 acres of beautiful land only 10 miles northwest of Philadelphia in Lower Merion Township. It consists of residential apartments and villas, a health care center, commons buildings, and recreational areas. The focal point of the community is a stately Manor House built in 1912 that houses resident and staff facilities.

The Guiding Statements shown below are central to everything we do at Waverly Heights. Each person who becomes an employee of our organization plays a vital role in ensuring that this mission is carried forward. Additional guiding statements include a *Statement of Purposes, Vision and Values* and, *Healthcare Philosophy of Service*, which we follow in order to perform our work and service to Waverly residents in the best possible way.

We expect that you will embrace our mission and other guiding principles and will understand how your position directly relates to them. We also trust that you will fulfill the responsibilities of your position knowing that you are working within a premier continuing care retirement community.

### Mission Statement

Waverly Heights, Ltd. is a non-profit corporation established to provide high quality life care services to seniors in a professional and caring manner. We do this by providing an exceptional environment, a wide range of outstanding cultural activities, a well-maintained physical plant, wellness support and comprehensive medical services. We are the employer of choice for people who are committed and attentive to the needs of seniors. We accomplish this while meeting rigorous standards of financial stability.

### Vision Statement and Values

Waverly Heights is to be the recognized leader providing the highest quality programs, services and amenities for senior living.



## **Introduction**

### **Statement of Purposes**

The Board of Trustees and Administration, in order to achieve the Mission Statement, affirm the following purposes for Waverly Heights:

- To provide residents with services of the highest quality which meet the reasonable expectations of residents in order for them to maintain to the greatest extent possible an independent lifestyle.
- To provide those services within the budgets approved by the Board of Trustees.
- To provide the grounds, buildings, and equipment which reflect a quality environment.
- To provide opportunities for residents to communicate with the Board, management, and staff; and to address resident concerns promptly and in a positive manner.
- To provide the means whereby residents and employees participate in decisions that affect them.
- To recruit, train, compensate, and lead employees in a fair manner so that they can participate effectively and enthusiastically in the professional delivery of the service we strive to achieve.
- To provide an opportunity for residents to continue to contribute to the local community by supporting and participating in the activities of the Lower Merion Township community.

### **Health Care Philosophy of Service**

At Waverly Heights, wellness is the foundation of our philosophy of care. Wellness is much more than the absence of illness. Wellness addresses the emotional, spiritual, intellectual and psychological well-being of each individual, in addition to the physical.

Waverly Heights supports the wellness of our residents by offering a variety of social, fitness and educational programs and services in independent living, personal care and skilled nursing. These programs and services are aimed at enhancing well-being and quality of life while minimizing the effects of illness and disability. Our goal is to care for the whole person, wherever that individual may be in our continuum of care.

## **Introduction**

### Health Care Philosophy of Service cont.

We believe that all residents have the right to participate in their health-care decisions and to be fully informed of their health status. Waverly Heights makes available comprehensive health and wellness services, including an outpatient office staffed by nurses and physicians representing a wide range of specialties and therapy services delivered in a professional and compassionate manner designed to promote resident dignity, privacy and independence.

Waverly Heights believes that health care services should be delivered in the least restrictive location and manner. We believe that decisions involving a transfer from one setting to another can only be made after thoughtful consultation with the resident, family members, physician, social worker and health care staff.

We support residents' rights to privately contract for personal care services within their present level of care, as long as safety can be assured, rather than being required to move along the continuum of care.

Waverly Heights believes that end-of-life decisions should be made according to the resident's personal wishes. We encourage the completion of living wills and durable medical powers of attorney in order to allow us to most effectively honor residents' choices. We believe that supportive and palliative care is each resident's personal choice to make.

The staff at Waverly Heights is united in this philosophy and is committed to the wellbeing of our residents.

## **EMPLOYMENT CULTURE**

### Waverly Heights Touchstone Customer Service Culture

Waverly Heights strives to provide "gold class" customer service through its Touchstone Customer Service Program.

The Touchstone Program allows Waverly to achieve a greater level of customer satisfaction and creates consistency in all job functions. With this in mind, it is important to remember that:

- We believe that a "customer" is anyone to whom services are provided. This includes our residents, residents' family and friends, our fellow employees, visitors, business suppliers, and public officials.
- We believe "quality service" is a combination of doing the right tasks in a professional and caring manner. It means every customer consistently receives the best we have to offer.

Each employee of Waverly has the ability and opportunity to impact positively the success of the organization. Each employee is expected to strive for Touchstone Quality Service in his or her work performance and the work of his or her department. This includes the following *Touchstones* of Customer Service:

### ATTITUDE, COMMUNICATION, ACTION AND ACCOUNTABILITY

**ATTITUDE** Your attitude must be kind, helpful, respectful and professional at all times.

#### **Develop a Customer Friendly Attitude.**

- Smile and present yourself as part of a service team.
- Make eye contact with everyone you see.
- Say good morning or good afternoon and refer to residents by their proper names: Mr., Mrs., Ms.
- Identify yourself, on the phone and in person.

## EMPLOYMENT CULTURE

- The essence of every position is customer service. Each action we perform during the day affects another person.

The very first moment you interact with someone sets the tone for the interaction. That very first interaction or *Moment of Truth* is the very first impression the customer has and that perception may be positive or negative.

**COMMUNICATION** Understand that communication is both verbal and non-verbal. Take the time to politely interact with everyone, including co-workers, residents, families and vendors.

### ***How to Look***

Being well groomed and neatly dressed while working at Waverly is part of the non-verbal message you send to all of the customers of Waverly Heights. Departmental dress codes are to be followed; uniforms and name badges are to be worn; and clothing, jewelry, make-up and hairstyles are to be appropriate for the Waverly Heights business environment.

Body Language includes posture, gestures, eye movement, dress, grooming. Each of these things are important elements of your nonverbal communication.

Waverly Heights has an expectation that YOUR body language will be good.

Good Body Language	Poor Body Language
Neat, Clean Uniform	Unkempt Appearance
Eye Contact	Looking down or away
Gentle Touch	Firm or forced touch
Good Posture....head up, shoulders back	Hunched shoulders
Arms by your sides	Arms folded across chest
SMILE	Hands on hips

## EMPLOYMENT CULTURE

### ***How to Sound***

Saying the right thing means being sensitive to what is being said and how it is being received. You set the stage for all of your encounters by having a good greeting.

Use warm greetings.... "Good morning", "Good Afternoon", "Good Evening."

Use proper names.....Mr., Mrs., Doctor, and remember to SMILE!

Say, "I'd be more than happy to help you;" or "I'll find out;"

Use a respectful tone in your interactions.

### ***How to Listen***

When listening it is very easy to miss important information. We are often pre-occupied, distracted and busy. Information gets jumbled and misunderstood.

Attentive listening is the greatest form of R.E.S.P.E.C.T.

R = repeat key phrases

E = eye contact

S = summarize

P = probe (*ask questions if you are unclear*)

E = empathize (*"I see that you are angry, upset"*)

C = concentrate

I = time (*take the time to complete the task*)

**ACTION** Means responding to the needs of another person and being responsible for the outcome

The key steps to taking action right away include:

- Actively listen to determine what the needs are of the customer.
- Give regular updates and progress reports.
- Communicate openly and honestly.
- State exactly what was done to address the need.
- Follow up and give a personal reassurance to the customer.



## **EMPLOYMENT CULTURE**

When dealing with complaints and upset customers:

- Consider your surroundings ~ find a quiet place to discuss your customer's complaints.
- Use the customer's name.
- Let the customer do most of the talking, listen carefully.
- Be aware of your body language.
- Acknowledge their concern.
- Never argue.
- Take responsibility for being part of the solution.
- Responding quickly.
- Recognizing the importance of your co-workers in your department and in other departments: treat ALL with respect.

**ACCOUNTABILITY** Means that you are responsible for the outcome of an action or situation. You can be successful by:

- Learning your job thoroughly.
- Understanding your role in your department.
- Understanding how your job is important to Waverly as a whole.
- Learning your department's operations manual.
- Understanding that each department must work together and with other departments.
- Being productive by making the best use of your time each day.
- Reading your employee manual and your department manual.
- Learning and following the rules of Waverly.
- Learning and following the rules of your department.
- Understanding that each rule has a reason; Waverly couldn't function without these rules.
- Getting more information and requesting more training if you need it.
- Committing yourself to following our rules.

## **EMPLOYMENT CULTURE**

There are a great many benefits to providing Touchstone Customer Service:

- A pleasant work environment exists when employees treat each other as customers.
- Feeling good that Waverly values your individual contributions.
- Personal satisfaction that your services are high quality.
- Customers are grateful when they receive superb service, and can result in suggestions rather than complaints.
- Good performance reviews.
- Satisfied residents, coworkers and other customers.

### You and Waverly Heights

Every employee is an important part of our organization, and we are committed to create a work environment that provides everyone with the opportunity for growth and self-satisfaction. The policies, procedures and benefits described in this employee handbook are an expression of that commitment. We hope that by knowing more about Waverly Heights' policies, procedures and benefits, you will be better able to reach your own personal and career goals.

### Employment Philosophy

The philosophy which guides Waverly Heights' relationship with our employees is based upon confidence in and respect for the dignity and individuality of each employee. We recognize that the success of our business is directly related to our employees. It is for this reason that we strive to provide a working environment based on fair employment practices, competitive pay and benefits, and career opportunities and programs designed to help achieve personal growth.

Waverly Heights' positive work environment and fine employment benefits have been offered without any third party administration. We believe that the best interests of our employees will continue to be served by direct and one to one, personal contact with our management team.

## **EMPLOYMENT CULTURE**

Our experience has shown that when employees and supervisors deal openly and directly with one another, the work environment can be excellent, communications open, and attitudes positive.

We are convinced that the secret to Waverly Heights' success has been our employees and the ability we all have to work as a team to provide quality service to our residents.

### A Word about This Handbook – At Will Employment

The purpose of this handbook is to outline in summary form the plans, policies and procedures of Waverly Heights as they currently exist. We hope that it will serve as a useful reference for general questions concerning Waverly Heights' policies and benefit plans. While Waverly Heights will attempt to apply policies and follow the procedures as summarized here, it may become necessary to depart from a procedure where circumstances and the needs of our employees and residents require. Revisions will be communicated to you.

The contents of this handbook, as well as the policies, benefit and procedures it summarizes are presented as a matter of information only. This guide is not intended to, and does not create an employment contract or terms or conditions of employment between Waverly Heights and any individual employee. To ensure flexibility to address the needs of our employees and residents, employment with Waverly Heights is at will, which means that the employee's employment and any policies, procedures, and benefits can be terminated, with or without cause, at any time, for any reason with or without notice. Any oral or written statement signed to the contrary, unless part of a written agreement signed by the president, will not be valid or binding.

## **Ethical Standards and Corporate Compliance**

### **Corporate Compliance**

Waverly Heights is committed to being a good corporate citizen and complying with all applicable regulations. Accordingly, Waverly Heights has established a "Corporate Compliance Program", as directed by the Waverly Heights Board of Trustees, to help ensure compliance with all pertinent federal, state and local laws.

If you identify a situation which you believe does not conform to our policies, you should bring it to the attention of your department director, Director of Human Resources or the president. If after a reasonable period of time, you feel appropriate action has not been taken, you are encouraged to call the Corporate Compliance Hotline. This call will initiate a specific review of the situation to determine any necessary corrective action.

**The Corporate Compliance Hotline number is 610-645-4860. This number may also be used to report any fraud related concerns.**

You may call anonymously, however all calls to the compliance hotline will be treated as confidentially as possible. Your concern will be taken seriously and you can feel confident to report a situation / problem without any fear of retaliation.

Employees found not to be in compliance with company compliance policies or applicable legal requirements will be subject to progressive discipline, up to and including termination. Any act of retaliation related to a compliance call will not be tolerated and will result in progressive discipline, up to and including termination.

### **Business Ethics**

For over 25 years, Waverly Heights has built a reputation by providing residents, employees and the Board of Trustees with a superior standard of Business Ethics based on trust and integrity.

All aspects of our business must be based on the highest ethical standards and we all must take responsibility for our own actions and conduct. It should be remembered that no one has the authority to require or influence another employee to violate this code of conduct, and any attempt to do so may result in immediate disciplinary action up to and including termination.

## **Ethical Standards and Corporate Compliance**

### **Fraud and Abuse**

Waverly Heights takes health care fraud and abuse very seriously. It is our policy to provide information to all employees, and contractors about the federal and state false claims acts, remedies available under these acts and how employees and others may use them, and about whistleblower protection available to anyone who claims a violation of the federal or state false claims act. We also will advise our employees, and contractors of the steps the community has in place to detect health care fraud and abuse.

The Federal False Claims Act allows a civil action to be brought against a health care provider who:

- a) Knowingly presenting or causing to be presented a false claim to the federal government;
- b) Knowingly making or using, or causing to be made or used, a false record or statement in order to have a false or fraudulent claim paid or approved by the government;
- c) Conspiring to defraud the government by getting a false or fraudulent claim allowed or paid; and
- d) Knowingly making or using, or causing to be made or used, a false record or statement to conceal, avoid, or decrease an obligation to pay or transmit money or property to the government.

"Knowingly" means that a person, with respect to information: (1) has actual knowledge of the information; (2) acts in deliberate ignorance of the truth or falsity of the information; or (3) acts in reckless disregard of the truth or falsity of the information, and no proof of specific intent to defraud is required.

Examples of a false claim may include: billing for items or services not rendered or not provided as claimed, submitting claims for equipment, medical supplies and services that are not reasonable and necessary, double billing resulting in duplicate payments, falsifying information in a medical record, paying or receiving anything of financial benefit in exchange for Medicare referrals.



## **Ethical Standards and Corporate Compliance**

### **Whistleblower Protection**

If any employee has knowledge or information that any such activity may have taken place, the employee should notify his or her supervisor or director or call the Corporate Compliance Hotline at 855-350-9399.

Information may be reported to the hotline anonymously. In addition, federal and state law policy prohibit any retaliation or retribution against persons who report suspected violations of these laws to law enforcement officials, or who file "whistleblower" lawsuits on behalf of the government. Anyone who believes that he or she has been subject to any such retribution or retaliation should also report this to the Corporate Compliance Hotline.

Administrative remedies may include:

- A federal false claims action may be brought by the U.S. Department of Justice;
- A qui tam action taken by the individual on behalf of the government;
- Civil penalty of between \$5,500 and \$11,000 per false claim, plus three times the amount of damages incurred by the government.

Under the False Claims Act, the statute of limitations is six years after the date of violation or three years after the date when the material acts are known or should have been known by the government, but no later than ten years after the date on which the violation was committed.

### **Conflict of Interest (Policy P-622)**

All employees should be aware of the following conflicts of interest which may include but are not limited to:

- Employees should generally avoid conducting Waverly Heights business with family members or other significant relationships, or taking any business action that benefits a family member or significant relationship.
- Employees should not directly or indirectly work for a resident privately, nor should an employee engage a resident or other employees to market their own or third party goods and services.

## **Ethical Standards and Corporate Compliance**

If you have any questions about how these principles affect you or if you observe what you believe to be inappropriate, unethical, or unlawful conditions at any time, please contact your department director or the Director of Human Resources.

### Confidentiality (Policy P-620)

To protect the best interest of Waverly Heights, our residents and our employees, certain information you may come in contact with may be considered confidential and will be prohibited from being disclosed to any third parties. Such information may include but is not limited to: financial data, business plans and strategies, health records, employee lists, marketing plans, resident lists, contracts and data bases. Confidential information must not be divulged during employment or thereafter.

Employees should be careful to not disclose any confidential information, purposefully or inadvertently (as through casual conversation or email), during the course of employment with Waverly Heights. Employees will be subject to disciplinary action, up to and including termination, for knowingly revealing information of a confidential nature.

If you should have any questions about what is considered confidential, please contact your immediate supervisor or the Director of Human Resources.

### Equal Opportunity Employer (Policy -P-639)

It is Waverly Heights' philosophy to provide equal employment opportunities for all employees and applicants. No person shall, on the basis of race, color, natural origin, age, sex, religion, military service, veteran status, ancestry, genetic information, disability or other basis protected under federal, state or local law, be discriminated against in hiring, training, promotion, transfer, compensation, benefits or any employment opportunity or privilege. Waverly Heights is committed to preventing illegal discrimination against employees or residents. The non-discrimination policy of Waverly Heights applies to all employees and applicants.

## **Ethical Standards and Corporate Compliance**

Applicants and employees are encouraged to contact the Human Resources Department with any questions regarding this policy.

Waverly Heights' employees are required to perform the duties of their positions in providing services to our residents, without regard to race, sex, sexual preference, age, color, religion, national origin, marital status, veteran status, ancestry or disability.

Complaints of discrimination may be filed with any of the following:

*Waverly Heights*  
*Director Of Human Resources or*  
*President*  
1400 Waverly Road  
Gladwyne, PA 19035

*Equal Employment Opportunity*  
*Commission*  
1421 Cherry Street  
10<sup>th</sup> Floor  
Philadelphia, PA 19102

*Department of Public Welfare*  
*Civil Rights Compliance Unit*  
1400 Spring Garden Street  
State Office Building, Room 502  
Philadelphia, PA 19130

*Office for Civil Rights*  
*U.S. Department of Health & Human*  
*Services*  
Region II, P. O. Box 13716  
Philadelphia, PA 19101

*Pennsylvania Human Relations*  
*Commission*  
711 State Office Building  
Broad and Spring Garden Streets  
Philadelphia, PA 19130

### Harassment in the Workplace

Waverly Heights is dedicated to providing a work environment free of unlawful harassment of any kind. Unlawful harassment in any form will not be tolerated and will result in disciplinary action, up to and including termination.

Any form of harassment related to an individual's race, sex/gender, religion, age, national origin, disability, citizenship status, sexual orientation or marital status is a violation of this policy and will be treated as a disciplinary matter. All employees are responsible for ensuring the workplace is free from all forms of unlawful harassment.

## **Ethical Standards and Corporate Compliance**

The term "harassment" includes:

- Offensive remarks and comments. Jokes or slurs pertaining to any individuals race, sex/gender, religion, age, national origin, disability, citizenship status, sexual orientation, marital status or any other basis protected by law;
- Offensive sexual remarks, sexual advances, or requests for sexual favors regardless of the gender of the individuals involved;
- Offensive physical contact, including gestures and touching, regardless of the gender of the individuals involved;
- Offensive pictures, drawings, cartoons, or photographs or other communications, including e-mail or text messages;
- Threatening reprisals for an employee's refusal to respond to requests for sexual favors or for reporting a violation of this policy.

Waverly Heights' supervisors and managers are prohibited from engaging in any form of harassing conduct. No supervisor or other member of management has the authority to suggest to any employee or applicant that the individual's employment or advancement will be affected in any way by entering into, or refusing to enter into, any form of personal relationship with him or her. Harassment of employees in connection with their work by non-employees is also a violation of this policy. Any employee who experiences or observes any harassment by a non-employee should promptly report such harassment to his or her supervisor, or the Director of Human Resources.

If you feel that you are being harassed you should tell that individual how you feel. You should also report the matter to your supervisor to ensure the conduct is stopped. If the problem involves your supervisor or if you do not feel that the matter can be discussed with your supervisor, you should promptly report the conduct to the Human Resource Director for a complete investigation.

## **Ethical Standards and Corporate Compliance**

### **Sexual Harassment (Policy P-685)**

Sexual harassment in any form will not be tolerated by Waverly Heights, regardless of level or position within the company and under appropriate circumstances shall result in termination. This includes but is not limited to any unwelcome verbal and/ or physical conduct that adversely affects the work environment.

The Equal Employment Opportunity Commission has defined sexual harassment as follows:

Unwelcome or unsolicited sexual advances, requests for sexual favors, and other inappropriate verbal or physical contact of a sexual nature made to an employee by a supervisor, a co-worker, or any individual with whom employees come in contact as part of their employment responsibilities:

- When submission to such conduct is made either implicitly or explicitly as a term or condition of an individual's employment;
- When the submission to or rejection of such conduct by an individual is used as a basis for employment decisions which affect that individual;
- When such conduct has the purpose or effect of interfering with an individual's work performance or creating an intimidating, hostile, or offensive work environment.

Sexual harassment may include but is not limited to:

- Verbal harassment or abuse;
- Undesirable work assignments due to refusal to grant sexual favors;
- Repeated remarks to an individual with sexual or demeaning implications; including repetitive and offensive text messages of sexual content;
- Unwelcome or unsolicited touching and ;
- Suggestions or demanding sexual involvement accompanied by explicit or implicit threats concerning one's employment.

## **Ethical Standards and Corporate Compliance**

If you believe that you are being sexually harassed, you should promptly report such conduct to your supervisor or the Director of Human Resources.

### Harassment or Discrimination Complaint Procedure

To ensure a prompt investigation and resolution of issues relating to harassment or discrimination concerns, it is essential to report any problems or concerns immediately. You should report the problem or concern to your supervisor, or should your supervisor be involved, your department director or to the Director of Human Resources. A prompt and full investigation will be complete. Waverly Heights will maintain the confidentiality of all parties to the maximum extent possible. Appropriate action will be taken based on the results of the investigation.

### No Retaliation Statement

Retaliation against any employee who reports a discrimination or harassment complaint is strictly prohibited and will not be tolerated. Any retaliation taken towards an individual reporting a case of discrimination or harassment will result in disciplinary action, up to and including termination.

### Code of Conduct (Policy A-023)

Waverly Heights has long been a provider of Continuing Care Retirement Services. Part of the reason for this is its strong desire to maintain the highest ethical, moral and legal standards in its operations and actions. This applies to the organization itself, its employees, and those with whom it deals. Waverly Heights expects everyone to act in accordance with these ethical, moral and legal standards.

When it is determined that an action has taken place or an event has occurred that does not meet these expectations, Waverly Heights will work to discover the extent of the action or event that has strayed from the standard, and determine what must be done to correct or revise it, so that the standard may be achieved.



## **Ethical Standards and Corporate Compliance**

Waverly Heights will work to correct the action or event to the extent possible and expects its employees and those with whom it deals to do the same. Should you encounter any circumstances that do not appear to support appropriate ethical, moral, or legal standards, please contact a supervisor, department director or the Director of Human Resources.

### **American with Disabilities Act**

As part of our commitment to Equal Employment Opportunity and in order to comply with the Americans with Disabilities Act and other applicable state and local laws, it is the policy of Waverly Heights to not discriminate in any employment practice against any individual with a disability. Waverly Heights will provide reasonable accommodation to applicants and employees, provided accommodations do not impose an undue hardship on Waverly Heights.

All employees are required to comply with safety standards. They are an essential part of every employee's job. Waverly Heights reserves the right to determine if an employee poses a direct threat of harm to himself/herself or others which cannot be eliminated by reasonable accommodation. If you believe that you require an accommodation either in the application process or in your job, please contact your immediate supervisor or the Director of Human Resources.



## **Employment**

### Probationary Period (Policy P-675)

The first 90 days of employment in a new position through hire, rehire, transfer, or promotion are considered a period of adjustment and qualification. This period gives both you and Waverly Heights an opportunity to get to know one another. You will have the chance to see how you like your new job while you demonstrate your abilities. Your supervisor will have the opportunity to evaluate your work performance and your attitude toward your job, co-workers, residents, guests and Waverly Heights.

At the end of your probationary period, your supervisor will conduct a performance evaluation with you. If your performance is satisfactory, you will have successfully completed your probation period. Probation may be extended beyond 90 days if your work performance has not met the required standards. If your performance is unsatisfactory, your employment may be terminated. You may be terminated at any time during your probationary period without any type of progressive discipline or prior warning.

An employee on probationary status is not entitled to voluntary employee benefits (with the exception of employees on probationary status due to transfer or promotion). Upon successful completion of the probationary period an employee may be considered a regular employee and will become entitled to benefits offered by Waverly Heights to eligible employees.

Successful completion of this period does not alter the "at-will" status of your employment.

### Employment Types (Policy P-637)

There are several types of employment at Waverly, including the following: regular full time, temporary full time, regular part time, temporary part time, auxiliary, on-call/pool, and probationary.

## Employment

These types of employment are defined below as:

*Regular Full Time Employee*: one who is regularly scheduled to work at least 37½ hours per week in an established position, who has successfully completed the 90-day probationary period.

*Temporary Full Time Employee*: one who fills a job of short duration, usually less than 18 weeks, and is regularly scheduled to work at least 37½ hours per week.

*Regular Part Time Employee*: one who fills a position that is regularly scheduled for at least 24 and up to 37½ hours per week.

*Temporary Part Time Employee*: one who fills a job of short duration, usually less than six months, and is regularly scheduled to work between 24 and 37½ per week.

*Auxiliary Employee*: one who is normally scheduled to work less than 24 hours per week, but maintains a regular work schedule.

*On-Call or Pool Employee*: one who is employed by Waverly to work on an as-needed basis. Pool employees are not regularly scheduled for shifts, but are used as on-call staff.

*Probationary Status Employee*: "Probation" is the period of employment used for qualifying an employee in his/her position (usually 90 days) and applies to an employee who is newly hired, re-employed or employed in a new position (through transfer, promotion, demotion).

### Pay Classifications

There are two pay classifications:

- Exempt – positions are paid a bi-weekly salary and do not receive overtime pay.
- Non-exempt – positions are paid for actual hours worked and receive overtime pay for extra hours worked based on the policy set for each department and position.

## **Benefits**

### Benefits for Regular Full time and Part time Employees

Health benefits are available to regular, full and part time employees. Dental benefits are available to full time employees. The percentage of cost paid by Waverly Heights is determined by the employee's employment status, and selection of the medical and dental insurance offered by Waverly.

Additionally, Waverly offers to pay a percentage of the cost for dependent coverage for dental, major medical and hospitalization insurance.

Summary plan descriptions for all insurances are available in the Human Resource Department.

#### *Eligibility:*

Full time and Part time employees are eligible for health benefits on the 90th day of employment and satisfactory completion of the probationary period. Hours worked under any other employment status (i.e. pool, auxiliary, etc.) will not be counted towards health benefit eligibility.

Participation in health benefit plans is not automatic. Upon eligibility the employee must enroll in these plans through the Human Resource Department. Failure to enroll during the initial eligibility period may result in forfeiture of all insurance until open enrollment, which occurs in February of each year.

### Eligible Dependent for Waverly Heights Health Plans:

Eligible dependents include:

- Legal Spouse;
- Domestic Partner;
- Unmarried children – to age 26;
- Dependent children of any age who are incapable of self-support because of a mental or physical handicap;
- Children for whom there is a valid qualified medical child support order requiring health care coverage.

## **Benefits**

Children can include:

- Your natural children;
- Your stepchildren;
- Children for whom you are the permanent legal guardian;
- Your legally adopted children;
- Your tax dependents who are:
  - Any children for whom the court has issued a qualified medical support order for Waverly Heights to provide coverage.
  - Children who are placed with you while formal adoption proceedings are pending and for whom you have legal obligation for total or partial support.

Misrepresentation of eligible dependent information during enrollment may result in progressive discipline and loss of coverage.

### Change of Coverage

Waverly Heights strives to offer the best selection of health insurance coverage with careful consideration of cost. Waverly reserves the right to make changes to the health benefit coverage at any time. Employees are notified of changes to the benefits package, change in cost, or permitted to change their selection of insurance during open enrollment in February.

### Waiver of Benefits (Policy P-651)

Employees who are covered by health insurance through another plan may waive the health insurance provided by Waverly and be eligible for a Waiver of Benefit Reimbursement. Employees are required to show proof of insurance to qualify for the waiver. The reimbursement amounts are subject to change. Information may be obtained through the Human Resource Department.

## Benefits

### Cobra

As an employee of Waverly Heights, you and your family are eligible for a temporary extension of group health insurance, or COBRA, at group rates in certain instances when coverage under the existing plan would otherwise end.

Detailed information about COBRA is provided upon hire, separation of employment, or change to non-benefit eligible status. COBRA information can also be obtained by contacting the COBRA third party administrator. See the Human Resources Department for contact information.

### Life Insurance / Accidental Death & Dismemberment

If you are a regular full time employee, Waverly Heights' pays the entire cost of the premium for your basic life / accidental death and dismemberment coverage. The life insurance benefit is calculated at one times your annual salary.

### Flexible Spending

All employees are eligible to participate in the Flexible Spending Program after completion of their 90 day probationary period. Flexible spending accounts (FSA) are established through payroll deductions on a pre-tax basis (i.e. federal income, social security, and Medicare taxes are not withheld on the amount of your biweekly deduction), resulting in more take home pay.

Spending accounts may be established for:

- Medical Expenses: Allows you to set aside tax free dollars to pay for health care expenses that are not covered under health insurance For example: medical and prescriptions co-payments, dental expenses, hearing aids, eyeglasses, contact lenses, select over the counter medications. Contact the Human Resource Department for the maximum annual contribution.

## Benefits

- *Dependent Care*: Allows you to set aside tax free dollars to pay for eligible day care and elder care.
- *Transportation Expense*: Allows you to set aside tax free dollars to pay for parking and mass transit expenses.

### 401 (A) Profit Sharing Plan (Policy P-673)

The retirement/profit-sharing plan of Waverly Heights is provided to all qualified employees and is designed to supplement your retirement income.

- Contributions to the profit-sharing plan are made by Waverly Heights, based on the operating results of Waverly for each fiscal year.
- All eligible employees who have completed one year of service, have worked 1,000 hours or more in a calendar year and are over the age of 21, may receive a deposit to their profit-sharing account.
- Employees are 100% vested after three years of service.

Details of the plan are contained in the summary plan description, a copy of which is available from the Human Resource Department. The summary plan description (or the plan document itself) should be relied on and not the brief statement of benefits in this manual.

### Tax Deferred Annuity (TDA)

The Tax-Deferred Annuity (TDA) plan is another means to save for your retirement through pre-tax payroll deductions. This optional long-term investment plan is available to all employees over the age of 21. You may elect to have part of your salary deposited in a variety of investment options to be paid at retirement. Payroll deduction changes and stopping your deduction may be made at any time by contacting the Human Resource Department. Further details are available from the Human Resource Department.

## Benefits

### Benefits Summary Guide

This summary of benefits is an overview and does not describe all of the conditions and terms of Waverly Heights' benefits. The actual language of the benefits plans, policies and documents will govern your benefits, eligibility, and other terms and conditions. Complete benefits summary guides are available in the Human Resources Department.

### Holidays (Policy P-654)

Full time Waverly employees are entitled to the following six holidays off with pay:

New Year's Day	Memorial Day
Independence Day	Labor Day
Thanksgiving Day	Christmas Day

- **Holiday Pay**

Hourly fulltime employees who are required to work on these holidays will be paid at a rate of time and one-half their regular rate of pay and be given a paid day off in recognition for working on the holiday.

- **Use of Holiday Benefit Time**

In order to receive the holiday compensatory day off benefit you must not call out on the last scheduled workday before a holiday or the first scheduled workday after a holiday. If you call out the last scheduled day before the holiday or the first scheduled day after the holiday and you are scheduled to be off on the holiday, you will have the holiday off without pay.



## Benefits

If you celebrate other holidays, PTO may be used for this purpose with approval from your department director.

- Actual Holiday vs. Company Paid Holiday

For departments that do not work on a 24/7 schedule (Administration, Marketing, HR etc.), if the holiday falls on a Sunday, the following Monday is the company observed holiday. If the actual holiday falls on a Saturday, the preceding Friday is the company observed holiday.

- Compensation for hours worked on the actual holiday:

The practice of compensating employees who work on a holiday will be communicated during new hire orientation and /or department orientation.

### Paid Time Off Program (PTO) (Policy P-670)

Paid Time Off (PTO) is provided for the rest, relaxation and planned interruption from the workplace or to attend to personal affairs. PTO is to be taken within the year it is accrued in order to receive the personal replenishment value intended. Supervisors and staff have the responsibility to plan schedules that meet operating requirements of Waverly Heights and time-off needs of staff. In order to balance and meet the service staffing requirements, staff members and supervisors should plan time off schedules well in advance.

- All regular and part time employees are eligible to use PTO upon successful completion of the Probationary Period. Employees who must take time off during their first 90 days of employment must have it approved by their department director and will not be paid for time taken.
- PTO is provided based on length of service, pay status and hours worked. The accrual rates are calculated bi-weekly and are outlined in the charts shown on pages 30 and 31.

## Benefits

- Years of Service are calculated from the most recent employment (hire) date. For an employee who leaves employment from Waverly Heights and is then rehired at a later date, the *rehire* date will be used for the purpose of calculating PTO.
- Changes to the accrual rate for length of service or status change will take effect in the pay period that the change is effective.
- The maximum balance of PTO is 400 hours. When a staff member's PTO balance is at 400 hours, the staff member will not accrue any additional time off until used time off brings the balance below the maximum of 400 hours.

### PTO Usage

- Requests for PTO should be made at least 14 days in advance. All requests no matter how short must be made in writing using the Waverly approved PTO Request Form. (Forms may be obtained from your department director.) Supervisors should respond promptly to the request. Employees should receive a copy of their approved or not approved PTO request.
- Due to operational needs, it may not be possible for supervisors to approve all requests. Supervisors maintain the discretion to grant or not grant PTO requests without reasonable notice, based on the business and operational needs for which they are responsible.
- Department Directors may assign or waive the assignment of PTO for employees who arrive late to work, leave early or chronically call out at their discretion. Employees who repeatedly arrive late, leave early or chronically call out will not be assigned PTO or go without pay and are subject to disciplinary action.
- Employees may use only the amount of hours accrued as of the date(s) requested.
- When two or more co-workers within the same department request the same PTO days, the requests will be honored on a first-come, first-served basis. When duplicate requests are made at the same time, length of service will be the determining factor.

## Benefits

- Supervisors may request a doctor's note when an employee calls out sick.
- A no-call, no-show will result in loss of pay. PTO hours cannot be used for those hours not worked as a result of a no call/no show.
- Employees who take time off with no Paid Time Off available may be subject to disciplinary procedures.
- Department director discretion should be used when using PTO to make whole and hourly employees shift.
- Upon the voluntary termination of employment and **proper resignation**, all regular full and part time staff members who have successfully completed their probation period will be paid their unused PTO that has accrued through the last full pay period worked. Proper resignation includes appropriate notice to management as follows:
  - \* 4 weeks' notice in writing to management for the following positions: President, Vice President, Director, Manager, Supervisors, Full Time RN and LPN positions.
  - \* 2 weeks' notice in writing to management for the following positions: Full Time Regular Staff and Part Time Regular Staff.
- Involuntary separation or termination is cause for immediate forfeiture of the PTO benefit, and accrued time will not be paid.

**Employees who resign their position without proper notice or are terminated from employment forfeit all accrued PTO time**

## Benefits

### Bereavement Leave

An employee's manager may approve Bereavement Leave, with pay, up to a maximum of three consecutive scheduled work days off for a full time employee attending the funeral of an immediate family member or relative, such as a parent, parent-in-law, step-parent, spouse, life partner, child, brother or sister, brother-in-law or sister-in-law, grandparent or grandchild.

A regular part-time employee may be granted up to 8 hours off with pay for death in the immediate family as listed above.

In the event of a death of persons not included in the immediate family (above), employees have the option of using PTO.

Waverly reserves the right to request evidence to authenticate details relating to bereavement leave.

### Jury Duty (Policy P-654)

Waverly recognizes the responsibility for occasional service on a jury. If you are required to serve on a jury, you will need to follow this procedure in order to receive your regular rate of pay:

- Notify your supervisor in writing within three days after receipt of a jury summons and subsequent notice of selection to serve as a juror.
- Provide proof of jury duty and any compensation received for these services to your supervisor in accordance with payroll deadlines. Documentation should include court statements of dates and times served and the compensation check received from the court endorsed and made payable to Waverly Heights.

An employee on an unpaid leave of absence is not eligible for jury duty compensation.

Jury duty is defined as the actual time one appears in court to serve as a potential or actual juror. Hours spent as a juror are not considered "hours worked" and therefore are **not** considered in the calculation of overtime. As hours paid, they **are** counted for the accumulation of Paid Time Off and holiday eligibility based on the usual limitations on accumulation.

## **Benefits**

Third shift employees are released from working the night shift prior to the day of jury service. First and second shift employees are released for the day or evening of the day of jury service. If not required to serve on a particular day after reporting for jury duty, a first or second shift employee is expected to come to work.

Waverly Heights, with the consent of the employee, may request an exemption of the employee for jury duty if his or her services are essential to operations at the time of the proposed jury duty and the employee's jury service would constitute a hardship to Waverly Heights. The employee's supervisor will prepare the written request to excuse the employee from jury duty. A copy will be sent to the Human Resource Department.

### Family and Medical Leave Act (Policy P-657)

In accordance with the Family and Medical Leave Act, Waverly Heights will provide eligible employees up to 12 weeks of unpaid, job protected leave during a 12 month period in the following situations:

- Birth / Pregnancy Leave – due to pregnancy, prenatal medical care, or child birth or to care for the employee's child after birth.
- Placement Leave – as a result of the placement of a child with the employee for adoption or foster care.
- Family Care Leave – where needed to care for the spouse, child or parent of the employee, if such spouse, child or parent has a "serious health condition".
- Serious Health Condition – as a result of a serious health condition which renders the employee unable to do the employees' job.
- Qualifying Exigency- as a result of certain qualifying exigencies (including attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post deployment reintegration briefings) in support of child, spouse or parent's active duty or call to active duty status in the National Guard or Reserves.

## **Benefits**

A serious health condition is an illness, injury, impairment or physical or mental condition that involves either an overnight stay in a medical facility or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employees job or prevents the qualified family member from participating in school or other daily activities. Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

Waverly Heights will provide up to 26 weeks of unpaid, job protected leave during a single 12 month period in the following situation:

Covered Service Member Leave – to care for a covered service member, who is a current service member of the Armed Forces, including the National Guard or Reserves, and has a serious illness or injury sustained in the line of duty on active duty that may render the service member medically unfit to perform his or her duties for which the service member is undergoing medical treatment, recuperation, or therapy, is in outpatient status, or is on the temporary disability retired list, where the employee is the spouse, child, parent, or next of kin of the service member.

If you are absent due to one of the circumstances described above, contact your supervisor to determine if the absences qualify as FMLA.

Where medically necessitated by the employee's own serious health condition or that of a seriously ill spouse, child or parent or covered service members' serious injury or illness, leave may be taken on a reduced schedule or intermittent basis in certain circumstances. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt Waverly Heights operations. Intermittent or reduced schedule leave also may be taken for a qualifying exigency. If you have a question about this type of leave, you should consult representative of the Human Resource Department.



## **Benefits**

For all types of leave other than to care for a covered service member, the company uses a "rolling" back 12 month period as the basis for FMLA leave eligibility. Under the "rolling" back method, an employee is entitled to the remaining 12 weeks not taken during the preceding 12 month period.

For leave to care for a covered service member, Waverly Heights uses a single 12 month period that begins the first day the eligible employee takes FMLA to care for the covered service member and ends 12 months after that date. If an eligible employee does not take all of the 26 weeks of leave entitled during a single 12 month period, the remaining part of the 26 weeks of leave is forfeited.

In the case of birth or placement leave, the leave must be taken consecutively and within one year of the date of birth or placement.

1. Eligibility

In order to qualify for FMLA, you must have been employed for at least one year and have worked at least 1,250 hours in the 12 months immediately preceding the leave. If you are not eligible for FMLA, you may request a personal or medical leave.

2. Notification

When the need for FMLA leave is foreseeable, you must make a written request 30 days prior to the expected leave date by completing a Leave of Absence Form (or where the leave is unforeseeable, as soon as practicable, and generally in compliance with Waverly's call out procedures). Employees must provide sufficient information for Waverly to determine if the leave may qualify for FMLA protection and the anticipated timing and duration of the leave. Employees must also inform Waverly Heights if the requested leave is for a reason for which FMLA leave was previously taken or certified. Employees also will be required to provide certification supporting the need for leave and to provide periodic recertification supporting the need for leave, except for Covered Service Member Leave.

If the duration of the leave is not known at the time it begins, you should inform Waverly Heights of your expected return date as soon as it is known, and no less than two weeks prior to your return to work. You may lose your leave status and employment privileges if you fail to provide notice nor keep Waverly adequately informed.



## **Benefits**

Under certain circumstances, you may be required to submit to a physical examination by a Waverly Heights designated physician, at the company's expense.

### **3. Employer Responsibilities**

Waverly Heights will inform employees requesting leave whether they are eligible under the FMLA. If they are not eligible, Waverly will provide a reason for the ineligibility.

### **4. Return to Work**

You must provide a return-to-work full duty certification form completed by your health care provider.

### **5. Benefits During Family and Medical Leave**

If you have group health insurance coverage, the coverage will continue on the same basis as during active employment. If you do not have sufficient paid leave to cover the cost of benefits, you will be required to submit payment directly to Waverly Heights in order to cover the benefit cost. If you fail to return to work, you may be required to reimburse Waverly Heights for the full health insurance premiums paid by Waverly. Use of FMLA leave will not result in the loss of any employment benefit that accrued prior to the start of the employee's leave. If you do not return to work following family and medical leave, you may continue your group health insurance coverage under COBRA.

### **6. Use of Paid Leave**

Waverly Heights requires that you use your Paid Time Off (PTO) during an approved family and medical leave. PTO will continue to accrue as long as you are receiving pay through the PTO Program. Once you have exhausted your PTO pay, you will stop accruing time for the duration of your leave of absence.

### **7. Unlawful Acts by Employers and Enforcement**

FMLA makes it unlawful for any employer to interfere with, restrain, or deny the exercise of any right provided under FMLA and discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA.

## **Benefits**

Waverly Heights is committed to providing our employees with the necessary time off for family and medical leave in accordance with all state and federal laws. For information or clarification about FMLA eligibility, guidelines, or forms, please contact the Human Resource Department.

### Military and Related Leaves of Absence

#### **Military Leave**

Any employee, upon request, will be granted an unpaid leave of absence, under the terms and conditions established by the federal and state law: USERRA (Uniformed Services and Employment and Reemployment Rights Act) covers individuals who voluntarily or involuntarily leave employment to undertake military service or certain types of service in the National Disaster Medical System.

#### **Reemployment Rights**

You have the right to be reemployed in your civilian job if you leave to perform service in the uniformed service and you satisfy certain qualifications (see USERRA poster or contact the Human Resources Department for more information). If you are eligible to be reemployed, you must be restored to the job and benefits you would have attained if you had not been absent due to military service or, in some cases, a comparable job.

#### **Health Insurance**

If you leave your job to perform service as covered by USERRA, you have the right to elect to continue your existing employer-based health plan coverage for you and your dependents for up to 24 months. Information regarding the cost, time and method for electing continuation coverage can be obtained from Human Resources and will be provided to persons needing a military leave of absence.

## **Benefits**

Even if you do not elect to continue coverage during your military service , you have the right to be reinstated in Waverly Heights' health plan when you are reemployed generally without any waiting period or exclusions except for service related illness or injury.

### Work Life / Employee Assistance Program (EAP)

Waverly Heights is committed to programs that support the health and well-being of our employees and residents, promote safety in our community, and maintain the delivery of quality service. In light of this commitment, Waverly Heights recognizes that a wide variety of issues and challenges outside of the work environment can have an impact on an employee's health and work performance.

Waverly Heights provides Work Life and EAP Services through First Call to help employees deal with barriers that can inhibit work performance.

First call offers a multitude of solutions for the work and life demands placed on the individual. The solutions are designed for the diverse issues that individuals face including parenting issues, buying a new home, personal finance, legal issues, child care referrals, and substance abuse issues.

Under the EAP, First Call and its network of skilled counselors employees are offered a choice of face to face or telephone consultations. Each counselor is trained, credentialed and experienced in helping employees or eligible dependents.

Employees may contact First Call by calling 1-800-382-2377. All consultations are strictly confidential.

### Social Security

All employees are automatically enrolled in the Social Security program. Waverly Heights contributes to Social Security an amount matching the amount deducted from your wages.

## **Benefits**

### Unemployment Insurance

Waverly Heights participates in the state and federal Unemployment Compensation Program.

### Worker's Compensation (Policy P-695)

If an employee is injured on the job, Waverly Heights provides coverage and protection in accordance with statutory Worker's Compensation Laws.

It is important that all on the job injuries, no matter how slight, be reported immediately to your supervisor.

If an accident or injury occurs while you are at work, you should contact your supervisor as quickly as possible; no later than 24 hours after occurrence. Your supervisor will help you complete an *Event Report*. Unless it is an emergency situation, all employees are to see the Residential Health Care Coordinator in the Outpatient Center (doctor's office) for a medical assessment (or in their absence, a Muirfield Nurse). Bring the completed *Event Report* with you.

If additional medical treatment is necessary due to work related injury, you must first receive treatment from one of the physicians designated by Waverly Heights, for a period of 90 days from the date of the first treatment to ensure prompt payment. A list of physicians is posted on all employee bulletin boards, as required by state law. All medical bills for work related injuries should be submitted to the Human Resource Department.

In the event of an injury resulting in lost work time from work, you may be eligible for benefits under the Workers Compensation Program. Employees are required to use PTO during the state Workers Compensation designated waiting period. Employees may not use PTO to supplement lost wages paid through the state Workers Compensation Program due to a work related illness/injury.

Employees are expected to cooperate with the Waverly Heights Return to Work Program so that any lost income can be minimized. Return to Work assignments may be in any department, and are based on work restrictions.

## Benefits

Transitional duty offered through the Return to Work Program is only available to those employees who have been injured on the job.

If an employee is absent due to a work related injury for 23 or more consecutive days under certain circumstances and eligibility the time may be designated as Family and Medical Leave.

### Employee Recognition (Policy P-659)

Employees who have completed 5 years, and in 5 year increments thereafter of continuous service as of June 30<sup>th</sup>, and are on the active payroll at the time the service awards are presented, or who have retired within the calendar year, will receive service recognition.

Additionally, employees who go above and beyond the call of duty are acknowledged periodically with movie tickets or gift cards.

### Tuition Reimbursement (Policy P-694)

Waverly desires to support its employees in their efforts to further their education and enhance their professional skills. Using available funds through its Foundation Scholarship Fund, Waverly will provide tuition reimbursement to qualified employees.

*A qualified employee* is defined as:

- Regularly working a minimum of 48 hours per pay period
- Employed for at least one year
- Job performance ratings of "meets expectations" or better
- Taking a course directly related to his or her job or as required for a degree or certification program
- Received at least a "C" in the course.

Funds are distributed on a first-come, first-served basis and are available to all qualified employees in a non-discriminatory manner.

## **Benefits**

Employees who wish to apply for tuition reimbursement should obtain the required application form from the Human Resource Department and are encouraged to get advanced approval to ensure availability of funds. In order to receive the reimbursement, the employee will be required to submit proof of Grade C or better and an itemized bill indicating the amount paid for the course.

## **Communications**

### Open Door Policy

The purpose of Waverly Heights' open door policy is to encourage open communication, feedback, and discussion about any matter of importance to an employee. If any area of your work is causing you concern, you have the responsibility to address the concern with your supervisor.

Whether you have a problem, a complaint, a suggestion or an observation, Waverly Heights and your supervisors want to hear from you. By listening to you, Waverly is able to improve, to address complaints, and to foster employee understanding of the rationale for practices, processes and decisions.

Those employees who wish to choose a more formal process may address their issue through the Employee Problem Solving Procedure.

### Employee Problem Solving Procedure (Policy P-676)

Ongoing issues, questions, concerns or problems can be resolved through effective communication. Waverly Heights believes that positive relationships and mutual trust are developed through effective communication among employees. Therefore, you should feel free to use this procedure to answer any question or respond to any concerns.

## Communications

The steps in the Problem Solving Procedure are as follows:

- *Step 1.* You are encouraged to talk with your immediate supervisor regarding any issues, questions, concerns or problems you may have. Most issues can be satisfactorily resolved in this manner.
- *Step 2.* If your concern has not been resolved within 48 hours after communication with your supervisor or you believe your supervisor is part of the problem, please bring the matter to the attention of your department director.
- *Step 3.* If your concern has not resolved after communication with your department director, you should submit your concern in writing to the Director of Human Resources. A meeting will be held with you within 48 hours to discuss the concern. If needed, an additional meeting will be scheduled within 24 hours giving the opportunity to provide documentation, evidence and witnesses, regarding your case.
- *Step 4.* Should the concerns still not be resolved, you may put your concerns in writing to the President of Waverly Heights. A meeting will be held within 48 hours with you, the Director of Human Resources and your department director where all previous meetings and their outcomes will be reviewed and discussed. The president will make a final decision.

You may contact the Director of Human Resources at any time in this process without fear of reprisal. Furthermore, any employee may use this Problem Solving Program without the fear of any retaliation. Any employee who interferes with another employee's use of this program will be disciplined up to and including termination.

### Solicitation and Distribution (Policy P-687)

Selling, soliciting or canvassing during work time or distributing literature in working areas on Waverly property is not permitted. Violation of this policy will lead to disciplinary action.



## **Communications**

### Electronic and Other Equipment

All electronic communication systems are the property of Waverly Heights and, as such, are to be used solely for work related purposes. This includes but is not limited to, personal computers, computerized databases, telephone, voice mail, the Internet, Waverly Heights Intranet, and all communications and stored information, or contained in Waverly Heights' information systems.

The use of such equipment and software for private purposes is strictly prohibited. Employees or consultants using this equipment for personal purposes do so at their own risk.

Further, employees or consultants may not use a code, access a file, or retrieve any stored communication, unless authorized to do so or unless they have received prior clearance in writing from their supervisor and the IT Department.

Telephones, computers, e-mail, fax machines, equipment and other furnishings (including desks, drawers and cabinets) you use at Waverly Heights are the company's property and are issued for your business use during your employment. Personal software may not be placed on computer systems.

You should not expect any privacy with regard to these company owned assets. Waverly Heights may monitor or review any communication, including personal computers, computerized databases, telephone, voice or electronic mail, the Internet or Intranet.

It is strictly against Waverly Heights' policy for employees or consultants to use our systems in any manner which disparages or defames colleagues or the company. Similarly, it is strictly against company policy for employees or consultants to use our systems in any manner which may be intimidating, hostile, humiliating or sexually offensive.

Violation of this policy will result in disciplinary action up to and including dismissal.

## **Communications**

### **Social Media Policy**

Waverly Heights recognizes the importance of social networks as a means of communication and a part of our everyday lives, and takes no position on your decision to start or maintain a blog or participate in other social networking activities.

However, it is the right and duty of Waverly Heights to protect itself from unauthorized disclosure of information. Waverly Heights' social media and networking policy includes rules and guidelines for company authorized social networking and personal social networking and apply to executive officers, management and staff. This policy is intended to help make appropriate decisions about work related blogging, personal websites, posting on video and picture taking sites, in the comments or responses you make online on blogs and elsewhere on the public internet, and other social networking activities in which you may engage. These guidelines are also intended to protect the privacy and confidentiality of Waverly Heights, its employees and residents and will continually change as new social networking tools emerge.

This policy consists of both guidelines and rules, which are to be broadly and liberally construed to cover all forms and manners of online social media and social networking. For purposes of this policy, the terms "social media" and "social networking" are synonymous.

Below are just some examples of social networking activities. This list is not all inclusive; however it addresses the various types of social media. Social media sites not named in this list are still subject to the social media and networking policy:

- Social networking sites – Facebook, MySpace, LinkedIn, Friendster, google+;
- Video and photo sharing websites – Flickr, YouTube, Indaba, Instagram;
- Micro Blogging sites – Twitter;
- Weblogs, blogs or forums: including without limitation, business blogs, personal blogs, or blogs hosted by traditional media publications;
- "Wikis" or other collaborative Websites designed to enable anyone with access to contribute or modify content: Wikipedia, Digg;

## **Communications**

- Online forums and discussion boards – Yahoo! Groups or Google Groups; and
- Any other websites or software applications that allow individual users or entities to publish content on the internet.

Failure to comply with the provisions of this policy may lead to progressive discipline up to and including termination. Should you have questions, please see your supervisor, department director, or Director of Human Resources.

Waverly Heights reserves the right to monitor comments or discussions about the company and the industry, including products and competitors, posted on the internet by anyone, including employees and nonemployees.

Waverly Heights may use blog search tools and software to monitor forums such as blogs and other types of personal journals, diaries, personal and business discussion forums, and social networking sites. Employees are cautioned that they should have no expectation of privacy while using company equipment or facilities (such as WHL computers, networks, handheld devices etc.) for any purpose, including authorized blogging or performing other work duties, as well as conducting personal activities.

### Authorized Social Networking

The goal of authorized social networking and blogging is to become a part of the industry conversation and promote web based sharing of ideas and exchange information. Authorized social networking and blogging is used to convey information about company products and services, promote awareness of the Waverly Heights brand, search for potential new markets, communicate with employees and customers to brainstorm, issue or respond to breaking news or publicity, and discuss corporate, business and department specific activities and events. When engaging in authorized social networking, blogging or using other forms of web based forums; Waverly Heights must ensure that use of these communications maintains our brand identity, integrity and reputation while minimizing actual or potential legal risks, whether used inside or outside the workplace. Only authorized employees can prepare and modify content for Waverly Heights' blogs and or social networking entries.

## **Communications**

Content must be relevant, add value and meet at least one of the specified goals or purposes developed by Waverly Heights.

If uncertain about any information material or conversation, discuss the content with your supervisor or department director.

### Personal Blogs

Waverly Heights respects the right of employees to write blogs and use social networking sites and does not want to discourage employees from self-publishing and self-expression. Employees are expected to follow the guidelines and policies set forth to provide a clear line between you as an individual and you as the employee. Waverly Heights respects the right of employees to use blogs and social networking sites as a medium of self-expression and public conversation and does not discriminate against employees who use these media for personal expression and affiliations or other lawful purposes. Bloggers and commenters are personally responsible for the commentary on blogs and social networking sites. Bloggers and commenters can be held personally liable for commentary that is considered defamatory, obscene, proprietary or libelous by any offended party.

Employees are not permitted to use employer owned equipment, including computers, company licensed software or other electronic equipment, nor facilities or company time, to conduct personal blogging or social networking activities. Employees are not permitted to use blogs or social networking sites to harass, threaten, discriminate, defame or disparage other employees, residents or anyone associated with or doing business with Waverly Heights or use social networking in violation of any other Waverly Heights policy. Employees are not permitted to post on personal blogs or other sites the trademark or logo of Waverly Heights or any business with a connection to Waverly Heights.

Employees are also not permitted to post company privileged information, including copyrighted information, strategic business plans, financial information and other proprietary and non-public information. Employees also have a duty to protect resident and fellow employee protected health information (PHI).

## **Communications**

Employees are not permitted to post on personal blogs or social networking sited photographs of other employees, vendors or suppliers without their permission. Posting photographs of residents is prohibited.

Employees are not permitted to link from a personal blog or social networking site to Waverly Heights' internal or external website.

If in a blog or any other communication you identify yourself as an employee of Waverly Heights, please understand that you may be viewed by some as a spokesperson for Waverly Heights. Accordingly, you must state that your views expressed in your blog or social networking area are your own and not those of the company, nor of any person or organization affiliated or doing business with Waverly Heights.

### **Discipline for Violations**

Waverly Heights investigates and responds to all reports of violations of the social media and networking policy and other related policies. Violation of the company's social media and networking policy will result in disciplinary action up to and including termination.

### **Personal Electronic Device Usage (PED's)**

Waverly Heights considers the use of any Personal Electronic Devices (PED's) in the workplace a distraction and therefore classified as a hazard in the workplace. PED's are to be switched to silent mode and not accessed during working hours unless in the case of an emergency or on a meal break. This includes: the use of personal mobile phones or blackberry for the use of making or answering telephone calls, emailing, texting or tweeting, playing of games, or accessing of social media sites such as Facebook or Twitter or personal audio devices (i-pod, i-pad, CD player, MP3 player or hand held electronic games). Violation of this policy will result in disciplinary action up to and including termination.

## **Communications**

Some employees may be required and permitted to use a cell phone as a part of their job function. Your supervisor will inform you if a cell phone is required as part of your position.

### Bulletin Boards (Policy P-613)

The Human Resources Department, as an important avenue of communication, maintains the employees' bulletin boards. They are located throughout Waverly and should be checked frequently.

Employees are not permitted to use the Human Resources bulletin boards to post notices of any kind, whether related to work or not, without pre-approval from the Human Resources Department.

### Suggestions

Suggestions, ideas and recommendations from all employees are welcomed. If you have an idea, please share it with your supervisor or the Human Resources Department.

### News

Waverly Heights makes every effort to provide information to you as soon as it is available. Occasionally, we may distribute important information on pay day. This information may include deadlines for changing enrollment in insurance programs, upcoming events, or reminder notices about Waverly Heights' policies.

Additionally, the electronic communication stations located in the Pineapple Grille may be used as a means of updating you on matters of interest and importance. If you have a topic that you think is newsworthy please inform the Human Resource Department staff.



## **Safety, Security and Health**

### **Risk Management (Policy A-083)**

It is the intent of Waverly Heights to provide a safe environment for employees, residents, visitors, and the general public. It is also our intent to identify, assess, manage, and monitor potential and actual risks to those within Waverly's environment.

In support of efforts toward maintaining risk management standards, your participation is important. Please report potential risks that come to your attention during the course of your employment to your manager or to a member of the Safety Committee.

Employees not following risk management standards will be subject to disciplinary action.

### **General Safety Rules**

To help prevent injuries to residents, visitors and employees, please observe Waverly Heights General Safety Rules:

- Observe safe and correct work procedures.
- Wear proper clothing and footwear for the job, in accordance with departmental rules.
- Keep work areas clean; a neat environment enhances safety.
- Use proper techniques and equipment for lifting and carrying.
- Do not operate, repair or adjust machinery or equipment unless authorized. Keep all tools in good working condition. Check electrical equipment for defects before using.
- Dispose of all sharp objects and broken glass in puncture proof containers and according to departmental procedures.
- Never engage in horseplay on the job or anywhere in the community.

You are required to report any unsafe working condition to your supervisor.



## **Safety, Security and Health**

### Safe Lifting (Policy P-660)

Waverly Heights is committed to providing a safe work place environment that minimizes the risk of strain or sprain injuries to staff while ensuring quality work. Waverly Heights wants to ensure that its residents and properties are cared for safely, while maintaining a safe work environment for its employees. Waverly Heights is a "no lift" organization. This means that employees are to use mechanical devices for lifting where appropriate. All employees are trained on proper lifting through the Waverly Specific Training Program.

### Right-To-Know

All employees should be aware of any potential hazardous substances. Each department has information which is carefully reviewed as part of the orientation process. Training is also provided to help all our employees identify potentially hazardous substances, and to teach safe handling and storage of these substances.

### Workplace Violence: Zero Tolerance Policy (P-697)

Waverly Heights has a zero tolerance policy for workplace violence. Waverly prohibits any acts or threats of violence by anyone, including a Waverly Heights' employee or former employee.

Any employee who brings a fire arm or other dangerous weapon onto Waverly's property will be subject to immediate discharge.

Any employee who engages in any threatening behavior or acts of violence; who uses any obscene, or abusive or threatening language or gestures will be subject to progressive discipline up to and including termination.

All employees have an obligation to notify their supervisor, security personnel, or the Human Resource Director of any suspicious workplace activities, situations or incidents they observe or are aware of that involve other employees, former employees, residents or visitors and that appear problematic.

## **Safety, Security and Health**

This includes but is not limited to threats of violence, aggressive behavior, offensive acts, threatening or offensive comments or remarks, and the like. Employee reports will be held in the confidence to the maximum extent possible. Waverly Heights prohibits any form of retaliation against any employee for making a report under this policy. Such retaliation will result in disciplinary action up to and including termination.

Waverly Heights may require employees who violate this policy to obtain mandatory counseling through the First Call EAP program.

### **Security (Policy P-683)**

Waverly tries to maintain a safe and secure environment for both the residents and the staff. To ensure the safety of residents, employees and visitors, Waverly Heights maintains twenty-four (24) hour security. Employees who are terminated with cause are prohibited from entering under any circumstances. Non- employees are prohibited on the premises unless authorized by a department director or as a guest of a resident.

Employees should be aware that Waverly Heights will be monitored by video surveillance both visible and more discreet.

To assist with this goal we ask that employees report any suspicious person or circumstances to the Supervisor of Security and/or the Security staff.

Additionally, employees should comply with security procedures outlined below:

**PRIVACY:** The need for employee privacy is recognized by Waverly. When possible, every attempt will be made to balance this need with the need for the safety and security of Waverly residents and staff. Each employee should be aware of the following:

- Contents of lockers, desks, computer files, other files, voice mail, e-mail, and any other area considered Waverly property will not be guaranteed privacy.
- Waverly reserves the right to search Waverly property at any time.

## **Safety, Security and Health**

- Waverly reserves the right to search the personal property, including bags and/or pockets, purses, and containers of an employee while leaving or entering Waverly premises. Any and all such searches will be conducted by a member of the same sex and behind closed doors.
- An employee who refuses to submit to such a search may be subject to discipline.

### **Security and Surveillance**

To ensure the safety of residents, employees and visitors, Waverly Heights maintains twenty-four (24) hour security. Employees who are terminated with cause are prohibited from entering the community under any circumstances. Non- employees are prohibited on Waverly Heights' premises unless authorized by a department director or as a guest of a resident.

Employees should be aware that our community will be monitored by video surveillance both visible and more discreet. The purpose of these cameras is to help deter the possibility of theft and other inappropriate behavior.

### **Inspections**

Waverly Heights may carry out reasonable searches of individuals and their personal property, including but not limited to boxes, purses, bags etc. as they enter or leave the property. Therefore, if you do not wish any items to be inspected, please do not bring them onto Waverly Heights' property. Searches may be initiated without prior announcement and will be conducted at times and locations as Waverly Heights believes are appropriate.

During investigations, extensive searches of employee property, may require authorization from an employee.

The company's inspection may include searching personal effects such as purses and automobiles as well as equipment and property provided by Waverly Heights. All employees are expected to fully cooperate with these inspections. Failure to cooperate may result in termination from employment.

## **Safety, Security and Health**

### **Post Offer Examination**

Physical examinations are required for some employees and are provided at no cost to the employees. You will be notified by the Human Resources Department should you be required to have a physical.

All new Waverly Heights employees must have a two-step tuberculin skin tests as a condition of employment. If you recently had a tuberculin skin test within the required time frame, and you provide documentation you will only be required to have one test. Pennsylvania State Law requires that all employees receive a tuberculin test on an annual basis. Those employees who are positive reactors to the tuberculin test may provide a copy of a previous negative chest x-ray or have a chest x-ray performed at no cost to them by Waverly Heights.

After you are hired should you develop a communicable disease and/or an infected skin lesion, under federal guidelines you are required to notify your supervisor immediately. For your protection and the protection of our residents and your coworkers, you may be required to provide medical certification of your ability to return to work.

As part of Waverly's policy to ensure the safety and health of every employee, we may require an employee to undergo a company paid medical examination by a doctor chosen by Waverly Heights.

The results of all physical examinations will be maintained as confidential, separate medical records.

### **Drug Free Workplace (Policy P-625)**

The use, possession, transportation, sale or being under the influence of illegal drugs and alcohol, and/or the abuse of legally prescribed drugs while working or on Waverly premises is strictly forbidden. Any violation may result in immediate termination.

## **Safety, Security and Health**

- Any employee with a drug or alcohol problem is strongly encouraged to contact his or her supervisor, department director, Human Resources Department or other manager for assistance. Waverly will assist the employee in obtaining treatment whenever possible.
- Involvement in an on-the-job accident may result in immediate testing to determine the presence of drugs or alcohol.
- An employee taking prescription medication which may affect his or her ability to complete his or her job duties is required to notify the supervisor or department director of the type of medication and its possible effects. An employee may be asked to use PTO time or take time without pay if his or her presence could be detrimental to other employees and/or residents.

Any employee arrested for violating a criminal drug statute must inform the Director of Human Resources of such an arrest within 48 hours of its occurrence. Failure to inform the Human Resources Director subjects the employee to immediate termination.

### **Drug and Alcohol Testing**

To help maintain a safe workplace for our employees and a safe living environment for our residents, Waverly strictly prohibits any employee from reporting to work under the influence of illegal drugs or alcohol. Waverly may request that an employee undertake drug and alcohol testing when reasonable suspicion of drug and alcohol abuse exists. Reasonable suspicion includes slurred speech, disoriented behavior, odor of alcohol on the breath, unsteady gait or balance, and engaging in exhibiting conduct which jeopardizes the safety of the workplace, employees, residents, and property.

Additionally Waverly Heights conducts random drug screening on a quarterly basis. These screenings are conducted on-site for the day and evening shift. Transportation to the testing facility is provided to selected night shift staff.

A positive random drug screening will result in immediate termination or in certain circumstances referral to the Employee Assistance Program (EAP). Recommendation and compliance with treatment may allow for continued employment.

## **Safety, Security and Health**

Waverly reserves the right to request blood, urine or other medical tests/samples if there is reason to believe that an employee is under the influence of drugs or alcohol. Refusal to submit to such testing may result in termination.

Refusing to take a drug or alcohol test upon request will result in disciplinary action up to and including dismissal.

## **On The Job**

### Identification Badges / Time Clock Procedures

Waverly Heights furnishes identification badges for all employees upon hire. This badge should be used to enter and exit the buildings. These name badges are considered part of the Waverly Heights uniform for all employees and must be worn at all times. Each employee is responsible for the maintenance and safekeeping of his or her own name badge. The cost of each replacement badge is \$10.00 per badge, charged to the employee. Worn-out badges may be turned in and replaced at no cost.

Waverly uses a time clock to ensure that work time is correctly recorded, especially for the accurate calculation of overtime hours. All hourly employees are to clock in no more than six (6) minutes prior to starting time and no later than scheduled starting time. Employees must report directly to their workstations immediately after clocking in. Be sure to clock out immediately after completing assigned duties and no later than six (6) minutes after your scheduled stopping time unless authorized to work overtime.

Employees who choose to change into work clothes must do so before they clock in and then change again after they have clocked out at the end of their shift.

If you forget to clock in or out, or if your time card reflects time and attendance problems (e.g., unscheduled time off, unauthorized overtime, lateness, etc.), you will be subject to disciplinary action up to and including termination.



## **On The Job**

### Access to Premises (Policy P-603)

Waverly Heights reserves the right to limit any individual from entering the premises when such restrictions will allow for the continued safety and security of those who live and work here. Employees should not permit anyone to enter the facility after normal business hours. For the safety and security of all residents and staff, all visitors must enter through the main entrance and sign in with security. Employees should be aware of visitors, be comfortable introducing themselves and asking a visitor if they need assistance, and reporting questionable visitors to security personnel. For reasons of safety, security, and conflict of interest, any person, including former Waverly Heights' staff, may be asked not to enter the property or to leave once they have entered.

### Employee Entrance (Policy P-627)

Waverly provides two entrances/exits for employees:

- Carlton Commons Loading Dock Entrance
- Outpatient/Doctor's Office Entrance

Employees may use either entrance/exit. Employees arriving to work between 11:00 p.m. and 12:00 midnight may enter through the Carlton Commons main door, but must exit at the designated employee entrances/exits.

### Access to Personnel Files (Policy P-621)

Access to your personnel file is limited to Human Resources staff and other persons who have a legitimate need to have access. Personnel files may also be available when required by subpoena or court order.

If you are interested in viewing your own personnel file, you may do so by contacting the Human Resources Department for an appointment.

Separated employees do not have access to their personnel file.



## **On The Job**

### Employment References

It is a practice of Waverly not to provide employment references to prospective employers. All inquiries from employers should be directed to the Human Resources Department, where the following information may be verified: name of employee (or former employee), salary and position title.

### Nepotism (Policy P-664)

Relatives of employees, residents and Waverly Heights Trustees are not eligible for employment at Waverly Heights, except for the position of auxiliary dining server. The term *relative* applies to relations established by blood, marriage or other legal actions.

Current employees who are related or become related and have been grandfathered under this policy may not be promoted or transferred within the same department or into a supervisory-subordinate relationship or into a relative's department.

Employees who violate this policy by withholding this fact will be subject to disciplinary action.

### Lockers

Lockers are provided to certain employees for storage of personal belongings while at work. Alcoholic beverages, illegal drugs, weapons and flammables are not to be brought onto the property or stored in lockers.

Waverly reserves the right to open, enter and inspect lockers at any time.

Please keep your locker secured, as Waverly is not responsible for items lost, stolen or missing.

Personal locks may not be used at any time, for any reason. Locks that are not the property of Waverly will be removed and discarded by Waverly.

The locker room is your space. It is important that you treat it respectfully and keep it neat and clean.

## **On The Job**

Please keep in mind that the locker room is used by other employees and is regularly cleaned by a Waverly Housekeeper. These fellow employees are your customer and should be treated with Touchstone Customer Service.

### **Parking and Driving (Policy P-671)**

Employee parking is designated so that Waverly residents may be provided with parking spaces closest to entrance areas.

- The employee parking lot is located directly across from the Health Care Center.
- The speed limit on Waverly property is 15 miles per hour; the speed limit on Waverly Road is 25 miles per hour. Please obey both speed limits for the safety of pedestrians and other drivers and for your own safety.

Car radios are not to be played loudly on Waverly premises by either Waverly employees or friends and relatives picking up employees. Friends and relatives picking up employees should park in the employee parking lots while waiting.

### **New Employee Orientation (Policy P-665)**

All new employees are required to complete the mandatory computer based training prior to assigned hours. In addition, it is mandatory that new employees attend the Waverly Heights Specific Training Program during the first month of employment. New employees will receive other departmental orientation programs as directed and scheduled by their manager.

### **Annual Training (Policy P-665)**

Waverly Heights provides monthly computer based training to all of its employees. Each employee is responsible for the completion of their required training by the end of each calendar year. In addition, all employees are also required to attend the Waverly Heights Specific Training Program (previously called annual training).

## **On The Job**

This training is typically scheduled during the month prior to the employee's annual review. Completion of all required training is mandatory. Failure to complete your training sessions may result in disciplinary action or a loss of hours.

### **Criminal Background Checks**

To help maintain a secure workplace for our employees and a safe living environment for our residents, criminal background screening is required as part of the employment process.

Any offer of employment is conditional upon successful completion of a criminal background check. If a background check reveals a conviction, Waverly Heights reserves the right to determine if the applicant meets the standards for employment.

Any employee arrested for the violation of a criminal statute must inform the Director of Human Resources within 48 hours of its occurrence. Failure to inform the Director of Human Resources subjects the employee to immediate termination.

If it is discovered that a current employee has a job related conviction on their record, the supervisor will be notified by the Director of Human Resources and the employee may be subject to termination.

Waverly Heights conducts criminal record checks on all active employees every two years.

### **Employee Moonlighting**

Employees are not permitted to perform "side jobs" for residents for any activity covered by a Waverly Heights program including but limited to:

- Housekeeping or cleaning services
- Maintenance; hourly rated projects
- Nursing; Home Care
- Transporting residents to shopping, airports or other personal errands.
- IT services
- Landscaping

## **On The Job**

Where a Waverly Heights program is not in place, employees may perform services for residents upon request, but must obtain approval in writing from the Director of Human Resources and President prior to performing the service. Time spent in performing these jobs must be non-work time and company equipment, tools and / or supplies may not be used.

### Tobacco Free Zone (Policy P-688)

Waverly Heights maintains a smoke and tobacco free environment. No smoking or other use of tobacco products (including but not limited to, cigarettes, pipes, cigars, e-cigarettes, snuff or chewing tobacco) is permitted in any part of the buildings or in vehicles owned, leased, or rented by Waverly Heights.

Employees may smoke outside in designated areas during breaks and are expected not to leave cigarette butts or other traces of litter or tobacco use on the ground or anywhere else. No additional breaks beyond those allowed under Waverly Heights break policy may be taken for the purpose of using tobacco or similar products. Violations of Waverly Heights Tobacco Free Policy are considered misconduct and subject to disciplinary action.

### Certification / License Renewal (Policy P-615)

Waverly will employ only licensed, registered, or certified personnel in classifications that require licensure or registration.

- Employees are responsible for maintaining current licensure/registration/certification if their positions require it.
- Employees must verify licensure/registration/certification when requested.
- Failure to maintain licensure/registration/certification will result in termination of employment until such re-certification is obtained.

## **On The Job**

### Employee Records

It is very important that accurate personnel records be maintained on each employee. You are responsible for notifying your manager of any changes to the personal information you provided during your hiring process. Examples include the following: home address, telephone number and emergency contact.

### Job Posting

Job opportunity notices are posted on employee bulletin boards and on the Waverly Heights website. To be eligible to apply for an available position you must be employed in your current position for at least 3 months and have successfully completed your probationary period. The application and selection process is confidential. However, you must inform your supervisor if you receive a job offer.

### Promotions and Transfers (Policy P-635)

When possible, Waverly will promote or transfer a qualified, active employee to an open position before hiring a new employee to fill an opening. Position openings are posted on all Employee Bulletin Boards.

Employees in good standing may apply for available open positions by filling out a *Request for Transfer* form. These forms are available from your supervisor or the Human Resources Department.

In selecting an employee for promotion or transfer, Waverly will consider the following, as well as other relevant factors:

- Most qualified for the position
- Proficiency
- Dependability and attendance
- Excellent Customer Service Skills
- Work attitude and work habits
- Effort invested in team work
- Seniority

## **On The Job**

If two or more current employees have the same qualifications, seniority may then be the deciding factor.

A promoted or transferred employee will be treated as an introductory employee to the new position for 90 days, but without forfeiting seniority and benefits.

If performance is unsatisfactory in the new position during this period, the employee may return to the former position or any other qualified position without loss of seniority or other benefits, should a vacancy exist.

Waverly recognizes the importance of employee job satisfaction and encourages employees to apply for posted positions.

### Resignation (Policy P-678)

If you wish to resign your position, the following steps are to be followed:

1. Inform your supervisor and/or the Director of Human Resources of your intentions immediately.
2. In order to receive accrued Paid Time Off (PTO), you must give proper notice. Proper notice is as follows:
  - 4 weeks' notice in writing to management for the following positions: President, Vice President, Director, Manager, RN, LPN, Supervisors.
  - 2 weeks' notice in writing to management for the following positions: Full Time Regular Staff and Part Time Regular Staff.

Employees who do not give proper notice may forfeit PTO that is in excess of their notice period.

### **No PTO may be used as notice for resignation.**

3. All resignations must be submitted in writing to your supervisor, clearly indicating the cause or reason for resignation.
4. The Human Resources Department will schedule an exit interview with you.
5. You are responsible for returning ID badges, keys, uniforms, this manual and any other Waverly-issued equipment or clothing to your department director. The cost of company property that is not returned will be deducted from your final pay.



## **On The Job**

### Exit Interviews

Employees who separate from Waverly Heights may request an exit interview with the Director of Human Resources.

The intent of the interview is to gain perspective and information on the reasons why employees are leaving Waverly Heights, as well as the reasons the employee chose to work for Waverly Heights.

### Request to Work Additional Hours

The nature of Waverly Heights' business requires certain departments to be staffed 24-hours-per-day, 7-days-per-week. There may be times when you may be requested to work additional hours beyond your scheduled shift so that the needs of our residents can be met. This may be due to a weather emergency, shortage of staff or because your replacement is late.

In these cases, you may be required to remain at work per company policy. Refusal to work additional hours in these emergency situations may result in corrective action up to and including termination.

### Overtime Pay (Policy P-667)

Non-exempt positions are eligible to receive overtime pay according to the overtime rule applicable to the position and per the department's operating rules. Waverly Heights uses two methods of calculating overtime pay, the 40 hour rule and the 8/80 hour rule in accordance with the Fair Labor and Standards Act (Wage and Hour Law). Waverly Heights defines a work day as a 24-hour period beginning at midnight and ending at 11:59 p.m.

Waverly Heights defines the workweek as seven days beginning midnight 12:00 a.m. Sunday and ending 11:59 p.m. the following Saturday.

The majority of Waverly Heights under the 8/80 hour rule, employees are paid an overtime rate for hours worked over 8 in a work day or over 80 in the pay period. Non-worked time such as Paid Time Off, holiday, approved leave and jury duty are not included when counting hours towards eligibility for overtime pay.



## **On The Job**

The applicable method of overtime calculation for your position will be reviewed with you when you assume the duties of your position. Under the 40 hour rule, employees are paid an overtime rate for any hours worked over 40 in a work week.

Upon employment, non-exempt or hourly employees as covered under the Act must acknowledge an understanding of the overtime provisions and the necessity of properly recording all time worked.

As defined in the Act, executive, administrative and professional employees are not covered or are exempt from mandatory overtime provisions.

### **Change in Eastern Standard Time (E.S.T.) to Daylight Savings Time (D.S.T.)**

The time clock will be changed to reflect the conversion to D.S.T. and again back to E.S.T. Employees will be paid for the actual number of hours worked in accordance with the Federal Wage and Hour Standards.

### **Overtime Authorization**

All overtime worked must be authorized in advance by your supervisor or department director. The supervisor will verify all hours worked and recorded on time records.

The department head and/or an authorized supervisor will authorize overtime in advance, for periods of 15 minutes or more. The management of Waverly Heights will assign overtime on an equitable basis among qualified employees whenever possible.

### **Meal Periods (Policy P-662)**

Waverly permits a one-half hour unpaid meal period for every employee scheduled to work more than 5 consecutive hours during a workday. Meal periods are to be taken approximately midway through the shift, not at the start or end of a shift. Employees may not forfeit a meal period and use the time at the beginning or end of a shift.

## On The Job

Employees who wish to leave Waverly property during their meal periods must first obtain the permission of their supervisor. Hourly employees who leave Waverly property must clock out when leaving their work station and clock back in when ready to report to work.

Employees may use the Pineapple Grille during the scheduled employee hours, which are posted outside the Pineapple Grille. No other resident area is available to employees for meals or break periods.

The Pineapple Grill provides discounted meals to employees and features made to order sandwiches, select hot entrees daily, and a salad bar. Employees are expected to clean up after their meal period. Waverly does not employ staff to clean up after employees.

### Break Periods (Policy P-662)

Employees may be provided with one or two paid 15-minute breaks, depending upon the length of the shift and are determined based on departmental needs. Please see your department director for the break policy within your department.

**No breaks are to be taken in resident or common areas unless authorized by your department director.**

These breaks are not required by law, unless an employee is under the age of 18. In these cases, Waverly Heights will follow the appropriate state or federal guidelines.

### Pay Period / Paychecks

Employees are paid every 2 weeks. The pay period begins on Sunday and ends 14 days later on Saturday. You must comply with departmental time reporting procedures for all hours worked and for all other paid time. Please report any discrepancies in your hours paid to your supervisor immediately.

Paychecks are issued on the Thursday after the close of the pay period.

## **On The Job**

### **Payroll Deductions**

Deductions from your paycheck include federal, state, and applicable local, Social Security, and Medicare taxes. No other deductions or withholdings will be made without specific written authorization from you unless required by law.

### **Compensation (Policy P-616)**

Waverly is committed to providing all employees in its organization with a fair, competitive, and comprehensive compensation program, reflective of their job's value to the organization and consistent with prevailing labor market practice.

Waverly has established starting pay rates for employees on the basis of their qualifications for the assignment and will periodically consider increases in individual pay rates in recognition of actual performance of job responsibilities and changes in market pay practice.

Pay decisions are made without regard to an employee's race, color, religious belief, national origin, age, sex, non-job-related handicap, veteran status, marital status, sexual orientation, or other legally protected status.

Pay increases are based on the employee's performance appraisal, position within the compensation system, and pay increase guide charts and rates as determined annually by Waverly Heights.

Waverly will also strive to maintain employee benefits at the prevailing market level. The compensation policy and program is reviewed annually by the Director of Human Resources and will be updated as necessary.

### **Total Compensation**

Total compensation is the combination of salary/wages and benefits. Benefits include those that are mandatory and those that are voluntary.

## On The Job

**Mandatory benefits** include but are not limited to:

- Social Security and Medicare (Waverly and the employee pay equal amounts as required by law)
- Unemployment Insurance (100% paid by Waverly)
- Workers Compensation Insurance (100% paid by Waverly)

**Voluntary benefits** include but are not limited to:

- Health Insurance/Dental Insurance
- Paid Time Off
- Retirement plan
- Life insurance
- Long Term Disability
- Flexible Spending Account
- Tuition reimbursement

Total compensation includes wages, mandatory benefits, and voluntary benefits.

### Pay Grades

Pay grades are a means by which Waverly establishes pay rates. The pay grades were developed by taking into consideration the following factors:

- Marketplace analysis of similar positions in similar and competing industries.
- Generally accepted salary administration practices.

There are two schedules of pay grades based on non-exempt and exempt classifications:

- **N1 to N10** for job titles entitled to Overtime Pay
- **E1 to E12** for job titles not entitled to Overtime Pay.

## **On The Job**

Waverly Heights uses a time clock to record hours worked for hourly employees. It is expected that exempt employees will be responsible to report to their workstation and be prepared to begin working at their scheduled start time. Failure to do so will result in disciplinary action. In addition, it is expected that at times requirements of your position will require you to work beyond your normal workday.

Pay grades are reviewed annually and are subject to change as market conditions warrant.

### Starting Pay Rates

The starting pay rate for all new employees is based on education and related work experience.

### Pay Increases

Pay increases are obtained through annual Performance Reviews and Merit Increases. Employees are evaluated for performance by their anniversary date of hire. Each annual evaluation provides opportunity for a salary increase. Taken into consideration at this time are the employee's current compensation rate in relation to the market value of his or her pay grade and his or her performance.

All pay increases are dependent on satisfactory performance.

### Direct Deposit (Policy P-624)

Waverly Heights implemented a direct deposit process for employees to receive their pay. Employees must provide required information of their bank, credit union, or other acceptable financial institution for payroll processing. All new employees will complete the required information on their first day of employment. Changes to your direct deposit account information may be made by completing the necessary paperwork in the Human Resource or Accounting Departments. Funds are deposited when the employee is sick, on vacation, or out of the office on payday. Waverly Heights does not advance-pay employees.

## **On The Job**

### Pay Practices

Waverly must schedule staff to provide continuous service to its residents. Therefore, when you accept employment at Waverly you may be requested to work different shifts or to work overtime in certain situations. Although we will try to maintain regularly scheduled hours of work to the extent possible, we reserve the right to change an employee's hours of work, shift, unit or work schedule, and assignment in the best interests of the residents.

When changes in work schedules become necessary, we will attempt to provide the employee with notice of the changes as far in advance of the change as possible.

1. **WORK SCHEDULE:** The normal work schedule consists of 75 or 80 hours in the two-week pay period. Departmental work schedules will vary depending upon the functions of the department. It is expected that ALL employees be at their workstation, prepared to begin work at their actual start time. Arriving at your workstation beyond your start time will result in disciplinary action.
2. **PAY PERIOD:** The bi-weekly pay period covers 14 consecutive days (two weeks) beginning Sunday 12:01 a.m. and ending at 12:00 midnight Saturday. Pay periods and check distribution dates will be published each year. These are found in your supervisor's office or the Human Resources Office. There are 26 payment periods each year.
3. **PAYMENT DATE (Check Statement Distribution)**

The Friday following each Pay Period End Date will be the Payment Date.

- Each department will determine distribution time of check statements individually.
- Your paycheck statement will be given only to you, unless you provide written authorization for someone else to receive it. If you believe there has been an error made in your paycheck, please bring this information to the attention of your supervisor.

Please see your Supervisor for information regarding release of paycheck statements in your department.

## On The Job

### 4. DEDUCTIONS

#### *a. Required Deductions:*

- Federal Income Tax (if applicable)
- PA State Income Tax
- Social Security and Medicare (FICA)
- City of Philadelphia Wage Tax (if applicable)
- Occupational Privilege Tax (i.e., Lower Merion Township tax)

#### *b. Voluntary Deductions: (authorization form required)*

- Health Benefits for spouse and/or dependents
- Tax Sheltered Annuity Plan participation
- Other deductions as authorized by an employee

#### Shift Differential (Policy P-686)

A shift differential is paid to specific positions who are scheduled to work on weekends, evening shift and/or night shifts. Employees will be paid the shift differential for all hours worked if at least 50% of the shift is worked.

Shift differential payments only apply to hours worked and not to Paid Time Off, holiday or other hours not worked.

#### Severe Weather (Policy P-684)

In the event of severe weather conditions, as determined by Waverly's President, all employees are expected to make every effort to report for work in time for their scheduled shift.

- All other policies and procedures remain in force during severe weather emergencies.
- Time not worked will be deducted from Paid Time Off (PTO).



## **On The Job**

### Referral Bonus (Policy P-634)

Waverly Heights recognizes those employees who assist in the efforts to recruit qualified employees. Referral bonuses are paid in accordance with the criteria outlined in the corporate Policy and Procedures Handbook. All current employees of Waverly Heights are eligible for the referral bonus with the exception of the President, Vice-Presidents, Directors, and Human Resource staff.

### Acceptance of Gifts and Gratuities (Policy P-693)

Maintaining high ethical standards is essential to ensuring the trust of our residents, which is the foundation of Waverly Heights' mission. We realize residents may want to personally thank employees for their service, and in doing so may offer a gift or a tip to an employee. The solicitation or acceptance of unauthorized tips, gifts, wages or gratuities from residents and/or resident family members is not permitted by any employee.

Residents who wish to donate money or gifts should be referred to administration. Asking for and/or accepting a gift, tip or gratuity is grounds for immediate termination.

Often, Waverly residents dispose of items that are of no value to them but could be of value to a Waverly employee. All such items are to be given to the Director of Housekeeping, who will either sponsor employee sales (during which employees may purchase any item) or donate the item to Windfall for sale.

*Any employee found leaving the property with any item not purchased through the Director of Housekeeping will be subject to disciplinary action, up to and including termination.*

We trust that you understand the intent of this policy is to protect the interests of our residents and to ensure that no employee uses their work relationship with any resident for personal gain. Violations of this policy will result in progressive discipline up to and including termination. Please direct any questions to your supervisor.

## **On The Job**

### Bequests From Residents to Employees

Waverly Heights believes that all residents are entitled to a high level of service provided by our employees and makes great efforts to gain the trust and confidence of our residents. In accordance with the company's mission and values, the residents served should be confident that services provided are not subject to any ulterior motives. Therefore, we have established a policy that prohibits employees of Waverly Heights from soliciting or exerting undue influence upon residents with the intent of personal gain and from soliciting or accepting unauthorized tips, gifts, wages or gratuities from residents at any time.

However, we are aware that there are circumstances when a resident has made a bequest in his/her will to an employee in recognition of the relationship that may have developed. If an employee knowingly or unknowingly is named and receives a bequest in a resident's will, the employee is required to inform the president within five days of notification. The president will be responsible to conduct a thorough review in order to ensure that undue influence was not exerted upon the resident and that there is no indication the bequest resulted from the solicitation of the resident by the employee.

If it is determined the bequest was not a result of undue influence or solicitation, the employee may accept the bequest. If it is substantiated that undue influence was exerted upon the resident or the bequest was solicited, the employee will be required to take immediate action to be removed from the will.

Should the employee fail to take appropriate action to be removed from the will, the appropriate parties will be notified and may result in progressive discipline up to and including termination.

## **On The Job**

### Performance Evaluations

Performance evaluations are a necessary and beneficial process which gives supervisors the opportunity to provide feedback to employees regarding job performance. The performance evaluation is intended to be a fair and balanced assessment of an employee's actual performance during the review period.

A performance evaluation will be completed at the end of your first 90 days of continuous employment.

Thereafter, annual performance evaluations generally will be completed on the employee's anniversary date.

In the event an employee transfers to a new department, community or position, an evaluation will be completed at the end of 90 days of the transfer date.

### Salary Administration

Waverly Heights pays wages which are competitive within our industry.

Waverly Heights will continue to adjust wages based on economic ability, changes and trends in comparable industries, and the job market within the community.

Wages are regularly reviewed to maintain Waverly Heights' competitive status. Factors that influence your rate of pay may also include your experience, and job responsibilities.

Employees have several opportunities to increase their compensation. Generally, all employees are eligible for an annual wage increase based on their performance.

Promotional increases also may be granted when you move from one position to another with significantly increased accountability and duties or if your existing position is upgraded, a relationship adjustment may be warranted.

## **On The Job**

Market adjustments may be given to adjust pay rates to remain competitive. Pool per diem rates are adjusted periodically in conjunction with changes to wage ranges.

### **Salary During Transfers**

If you are permanently reassigned to another position, the following guidelines will determine your rate of pay:

- If you change positions and the new position has a higher wage range than your current position, you will be paid at least the minimum rate of the new position's range.
- If the new position's wage range is lower than the former position, your pay rate will generally need to be adjusted per the new position's pay range.

### **Waverly Heights Provided Transportation**

Waverly Heights may provide transportation to and from designated public locations as a service to employees. This service is a privilege and not a benefit. Employees who utilize Waverly Heights transportation service are expected to behave in a professional manner at all times and to keep the buses neat and clean. Inappropriate behavior will be reported to the appropriate supervisor and may result in disciplinary action up to and including termination.

### **Dress Code (Policy P-609)**

All employees of Waverly Heights are representatives of the company, therefore it is important to project a professional image at all times. Waverly Heights recognizes that the company image may often be influenced by the attire of the employees, especially when coming into contact with outside business associates.

## **On The Job**

Business professional is the prevalent practice at Waverly Heights. The following guidelines are provided on appropriate and acceptable dress in the workplace when uniforms are not required.

### *Appropriate Business Dress*

Suits, dress slacks, dresses, skirts of professional length, neck ties, button down shirts.

### *Inappropriate Dress - at all times*

The list below cites examples of inappropriate dress for work or training.

- Tank tops, midriff tops, halter tops, low cut shirts/blouses;
- Tight fitting clothing;
- Miniskirts, sun dresses, beach dresses, spaghetti straps, backless, strapless dress or tops;
- Denim clothing or jeans;
- Sweat pants, sweat shirts, sweat suits, jogging suits;
- Tee shirts and any clothing displaying logos/sayings or advertisements, with the exception of small vendor logos on the front side of appropriate style shirts;
- Sneakers, flip flops, heeled or flat or any other shoe that exposes the majority of the foot;
- Capri pants, shorts.

*\*Exceptions may be made during theme or special events held at the community as deemed appropriate by senior management or the President.*

### Personal Appearance

Waverly Heights has established personal appearance standards and guidelines to ensure employees present a neat, clean and professional image while at work. The following guidelines of personal appearance have been established to ensure employees present a professional image to our residents while at work:

- Visible tattoos are not permitted. If an employee has a tattoo located on an area that may be visible to the residents, the employee should take proper measures to ensure the tattoo is covered. (For example, wear an appropriate long sleeve shirt);

## **On The Job**

- Tongue piercings and other facial piercings are not permitted at any time;
- Multiple ear piercings should be kept to a maximum of two per ear;
- Hair color which is considered unnatural is not permitted.

Individual departments may have additional standards to ensure compliance with specific regulatory requirements.

Violations of the personal appearance policy will be handled through the progressive discipline policy.

### Attendance & Performance Standards: Progressive Discipline (Policy P-611)

Waverly Heights progressive discipline policy and procedure is designed to provide a structured corrective action process to improve and prevent a recurrence of undesirable behavior and/or performance issues.

The type of policy violation or performance issue being addressed will determine the level of corrective action.

### *Absenteeism and Tardiness*

Employees who are tardy or absent put an added burden on their coworkers, affect the quality of work and cause an unfavorable effect on the reputation of the community:

Waverly Heights' employees are expected to report to work and be at their work station on their scheduled dates and times, and remain for a complete work day as scheduled.

In accepting a job with Waverly, you have made a commitment to being part of a team delivering quality life care services to our residents. We owe the residents of Waverly the assurance of a full staff to provide services.

If you are unable to report for work or must be late for work, you are expected to contact your immediate supervisor as soon as you are aware of the situation and no later than one hour before the scheduled start of your shift, or as noted on the next page:



## On The Job

- **Dining Services employees** must call no later than **two (2) hours** before their scheduled start of shift.
- **Nursing employees** must call no later than **four (4) hours** before the scheduled start of their shift.
- **Security employees** must call no later than **four (4) hours** before the scheduled start of their shift.
- **All other employees** must call no later than **one (1) hour** before the scheduled start of their shift.

A doctor's note may be requested by your supervisor for any call-outs

Employees must call every day that they are absent unless prior arrangements have been made with your immediate supervisor.

Employees must call out themselves. Call-outs from family members or friends are not acceptable.

More than six (6) separate occurrences of unscheduled absence are considered excessive for a 12-month period and will result in disciplinary action.

If an employee is absent for two consecutive workdays without the proper notification, the employee will be considered to have resigned without proper notice.

If an employee calls out on the last scheduled workday before a holiday or the first scheduled workday after a holiday, and the employee is scheduled off on the holiday, the employee will not receive pay for the holiday.

If your supervisor is not available when you call, contact his or her manager. If you leave a message because your supervisor is not available, you must call your supervisor when he or she is expected to be available. Follow this same process for each day you are going to be absent. Failure to follow this procedure may result in disciplinary action, up to and including termination. Text messaging is not an acceptable form of communication.

## On The Job

The guidelines which follow are attendance and lateness standards for disciplinary purposes. There may, however, be several reasons to vary from the framework below. Disciplinary action that deviates from the below standard may be based on other performance issues

This policy applies to situations of unscheduled absence or tardiness (i.e. arriving late, leaving early, or missing entire scheduled shift). There may, however, be several reasons to vary from the framework below. Disciplinary action that deviates from the below standard may be based on other performance issues.

The following chart outlines how discipline will be initiated for absenteeism and tardiness:

<b><u>Attendance / Lateness Guidelines</u></b>	
<b>Employed Less than Three Months</b>	
One Occurrence	Verbal Counseling
Two Occurrences	Written Warning
Three Occurrences	Second Written Warning
Four Occurrences	Termination of Employment
<b>Employed More than Three Months (Occurrences based on a 12-month period from previous disciplinary action)</b>	
Three Occurrences	Verbal Counseling
Four Occurrences	Written Warning
Five Occurrences	Second Written Warning / Suspension
Six Occurrences	Termination of Employment

### Definitions

- **Absence** - Unscheduled time lost from work regardless of the reason (including personal illness).
- **Tardiness** - Arriving to work after the scheduled start time regardless of the reason.
- **Occurrence** - An absence for one or more consecutive work days, or an occurrence of tardiness.
- **Scheduled Time Off**- Time off from work that has received prior approval to allow for scheduling changes and proper coverage, including but not limited to:

PTO, holidays, jury duty, bereavement leave, worker's compensation, approved family medical leave, other forms of approved absence.

## On The Job

### Conduct and Performance

This list is intended to be representative of the types of activities that may result in disciplinary action. It is not exhaustive, is not intended to be comprehensive and does not change the employment-at-will relationship between the employee and the Company.

- Leaving work area during working hours without permission; including unapproved or extended break time;
- Unauthorized use of telephone, computer systems or other business machines for personal purposes;
- Creating unsafe or unsanitary conditions;
- Unauthorized eating of resident's food or unauthorized presence in resident space;
- Violations of smoking regulations;
- Failure to follow instructions;
- Unsatisfactory performance;
- Discourteous treatment of residents or employees;
- Failure to clock in and/or out on a regular basis;
- Repeated absenteeism or tardiness.
- Failure to properly report an absence or tardiness.
- Failure to report a work-related injury within 24 hours of occurrence.
- Improper use of company property and/or unsafe work acts.
- Violation of parking procedure.
- Posting unauthorized notices, defacing walls, or tampering with bulletin boards.
- Failure to comply with departmental dress code requirements.
- Mistakes due to carelessness or inattentiveness to the job.
- Creating or contributing to unsanitary or poor housekeeping conditions.
- Loitering, loafing or horseplay.
- Selling, soliciting, canvassing, or distributing articles or literature during work time or distributing literature in working areas on Waverly property.
- Conducting personal business during working hours.
- Using abusive language or threatening bodily injury to another employee.
- Destruction of Waverly property.
- Leaving the job or work area without relief where relief is required, or refusing to work overtime in an urgent situation.
- Concealing defective work.
- Wasting materials or abusing tools or equipment.
- Gambling or conducting monetary games of chance on Waverly premises.

## **On The Job**

**Examples of more serious offenses which may result in immediate dismissal include but are not limited to, the following:**

- Abuse, neglect or mistreatment of a Waverly resident.
- Violation of resident rights.
- Insubordination to include, but not limited to, disrespect of a supervisor or failure to comply with a supervisor's instruction (see P-652 below).
- Bullying, intimidating or harassing in anyway a fellow employee.
- Refusal to accept a job assignment.
- Sleeping during working hours.
- Fighting.
- Theft or unauthorized possession of someone else's property.
- Falsifying an employment application, time card, or other company records; or intentional misrepresentation of the truth.
- Willfully clocking in or out for another employee.
- Deliberately damaging the property of a resident, another employee or Waverly Heights.
- Possession of a concealed weapon or explosives on Waverly premises.
- Possession or use of intoxicants or narcotics on Waverly premises.
- Working while under the influence of intoxicants or narcotics.
- Positive drug screening.
- Immoral, indecent or improper conduct.
- Willful hampering of production or gross carelessness.
- Accepting a gift, tip or gratuity.
- Unauthorized presence in a resident's room, apartment or villa.
- Conduct which is detrimental to resident care or organizational operations.
- Discrimination against or harassment of a resident, co-worker, supervisor or subordinate.
- Failure to follow safety procedures or failure to use required safety equipment.
- Refusing reasonable requests to work overtime.
- Confidentiality violations.
- Unauthorized access or use of an employee or resident's personal health information.
- Surveillance, audio recording and/or pictures taken of residents and/or employees without prior authorization;
- Taking advantage of a relationship with a resident for personal gain;
- Failure to notify management of an arrest for violating a criminal statute.

## On The Job

### **These lists are not all-inclusive.**

The type of misconduct or performance issue being addressed will determine the level of the disciplinary action (i.e. the seriousness of the occurrence may warrant a final warning or immediate termination). This process may be modified at the discretion of the Human Resources Director together with the appropriate department director and president.

Serious misconduct or performance issues may be subject to immediate termination instead of going through progressive discipline.

If an employee is terminated for misconduct, they will not be eligible for re-hire.

Employees who are within their introductory period may be separated without going through the steps of the progressive discipline process.

**Employees who are terminated by Waverly for willful misconduct will not receive any accrued PTO.**

### Insubordination (Policy P-652)

Insubordination is a serious offense that can severely limit the operations of Waverly and its ability to provide resident services. Insubordination may result in immediate termination. Examples of insubordination may include, but are not limited to, the following:

- Disregard of a supervisor's authority.
- Refusal to follow a supervisor's instruction.
- Deliberate disregard of a department's or Waverly's rules, policies and procedures.
- Contradiction of, or argument with, a supervisor in the presence of residents, co-workers or guests.
- Display of disrespect to a supervisor.
- Failure to follow the chain of command, with exceptions made as listed in the Problem-solving and Grievances Policy.
- Leading or participating in an effort to undermine the efforts of Waverly, a department of Waverly or a Waverly supervisor.

## **On The Job**

All employees are expected to perform job assignments, even if they object to the assignment or instructions. An employee's refusal or failure to carry out an assignment will be treated as serious misconduct.

Verbal abuse, profanity, name calling, threats, ridicule or discriminatory remarks will also be treated as insubordination.

### Referrals to Employee Assistance Program

Please be aware that at any time during the discipline process, or prior to beginning this process, Waverly Heights' management reserves the right to require an employee to seek assistance through our company-sponsored Employee Assistance Program (EAP) to address job-related concerns. An employee's continued employment may be made contingent upon an employee following through with this mandatory referral.

### Disciplinary Suspension (Policy P-653)

When an employee has received two written warnings or commits an offense of a serious nature but does not require termination, the supervisor may suspend the employee with the approval of the department director and Director of Human Resources. The supervisor must notify the employee that any further infractions of company policy may result in termination. Time out of work for a disciplinary suspension will not be paid.

### Investigatory Suspension (Policy P-653)

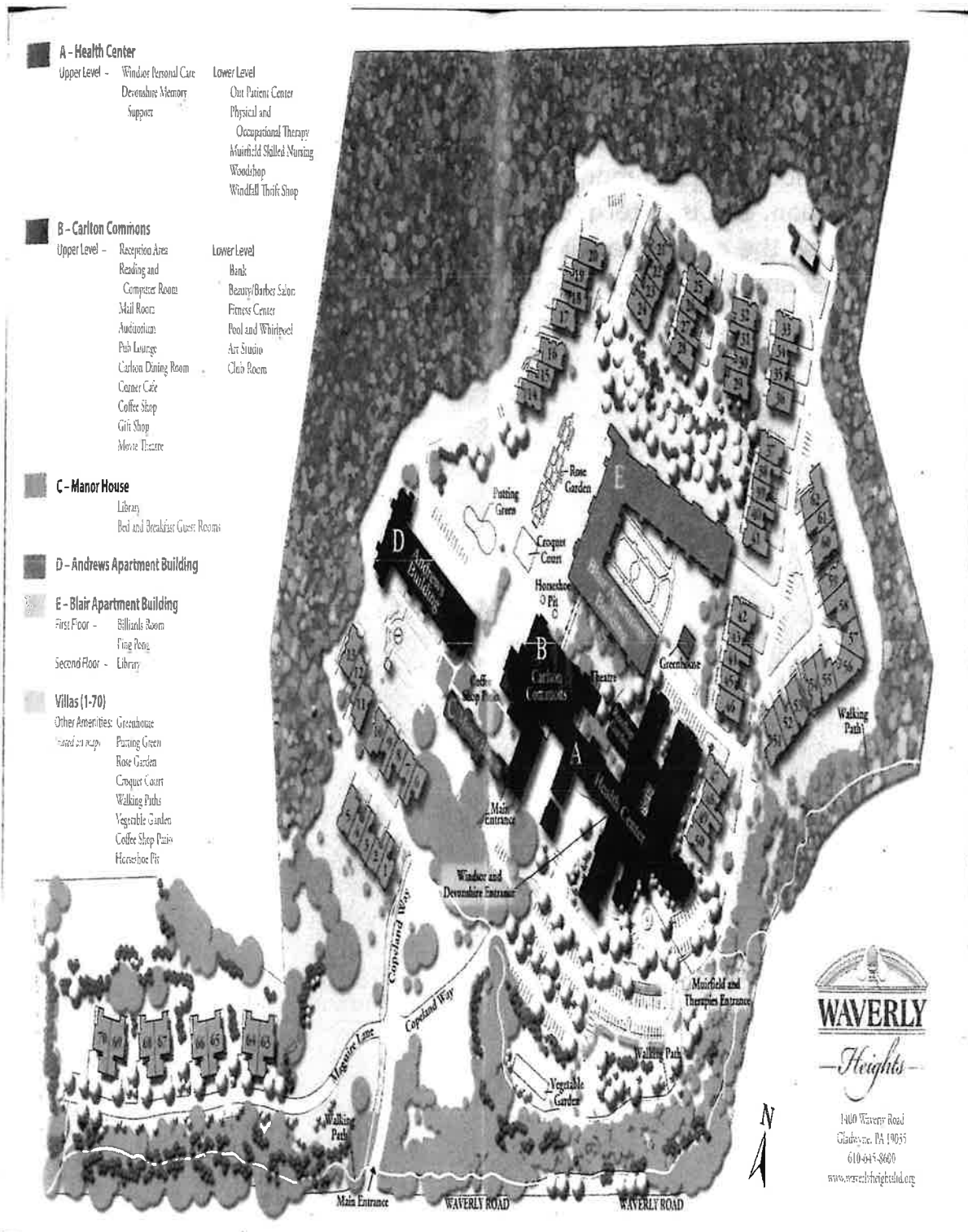
An employee may be suspended from his/her position if it is determined that an investigation is necessary to gather more information regarding a possible violation of company policy. Suspended employees are not permitted on company property without prior authorization.

In most instances, the length of the suspension will not exceed three days. In some cases, it may be necessary to extend the length of the investigation. Every attempt will be made to conduct the investigation within three days; however, there may be circumstances where this is not possible.



## **On The Job**

If it is determined that there has been a violation of company policy, the employee will not receive compensation for the work days missed as a result of the suspension. If it is determined that there has not been a violation of company policy, the employee will be compensated for the work days missed due to the suspension.



**WAVERLY HEIGHTS, LTD.  
2015 DISCLOSURE STATEMENT**

**EXHIBIT B**

**WAVERLY HEIGHTS, LTD.  
BOARD OF TRUSTEES**

The Waverly Heights' Board of Trustees have no equity or beneficial interest in the Corporation. No professional service, firm, association, trust, partnership or corporation provides goods, leases, or services to the facility in which a Trustee has any equity or beneficial interest.

Contact Information for the Board of Trustees is as follows:

**Business Address:**

Waverly Heights, Ltd.  
Attn: Board of Trustees  
1400 Waverly Road  
Gladwyne, PA 19035

**RICHARD E. BAUER, CHAIR, '17**

Former Senior Vice President and current Board Member, Columbian Financial Group;  
Former Chairman and CEO, Philanthropic Mutual Life & Fire Insurance Companies  
and National Safety Life Insurance Co.;  
Former Executive Officer, Provident National Bank (PNC Bank).

**ROBERT K. BARRY, VICE-CHAIR, '19**

Principal, Barry Associates, LLC.;  
Former Vice President of Development, Franciscan Health System;  
Former Vice President of Development, Inova Health System.

**R. MICHAEL BUCKLEY, M.D., VICE-CHAIR, '16**

Former Executive Director (Chief Executive) of The Pennsylvania Hospital;  
Former Chairman of Medicine, Chief Medical Officer,  
and Chief of The Infectious Disease Section, The Pennsylvania Hospital;  
Board Member of the First Hospital Foundation;

**KATHLEEN A. McENDY, SECRETARY, '18**

Chief Administrative Officer and Senior Vice President  
of Human Resources, South Jersey Industries;  
Former Principal, The McEndy Group, LLC.

**SCOTT M. JENKINS, TREASURER, '19**

President, Jenkins Partners, L.P.;  
Former Vice President, The First Boston Corporation.

**WAVERLY HEIGHTS, LTD.  
2015 DISCLOSURE STATEMENT**

**EXHIBIT B**

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President, Affordable Housing Corporation;  
Former President, Church Housing Corporation;  
Former Vice President, Liberty Property Trust;  
Former Officer and Director, Historic Yellow Springs;  
Former Treasurer and Director, Handi-Crafters, Inc.;  
Former Assistant Professor, Cabrini College and Eastern University.

**GARY L. BRAGG, '18**  
Attorney-at-Law and President, O'Neill, Bragg & Staffin, P.C. Prior Partner, Obermayer, Rebmann, Maxwell & Hippel.  
Current General Counsel for: Board of Trustees, Commission on Graduates of Foreign Nursing Schools; Institute for Research and Reform in Education; Soroptimist International of the Americas.

**ANNE N. CONROY, '19\***  
Vice President, Waverly Heights' Residents' Association;  
Former President and CEO of the Dutchess County Economic Development Corporation (DCEDC);  
Former Executive Director of the Dutchess County Industrial Development Agency (DCIDA);  
Former Board of Directors of the New York State Economic Development Council and the Hudson Valley Economic Development Corporation.  
Former Trustee, Vassar Brothers Medical Center, NY  
Former Member of Planning Board, Poughkeepsie, NY

**RICHARD J. CONWAY, '17**  
President, Sage Office Management Corporation;  
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**ELEANOR L. DAVIS, '17**  
Member, Penn School of Nursing Board of Overseers;  
Past Board Chair, Breastcancer.org;  
Trustee, Connelly Foundation;  
Trustee, University of the Arts.

**DAVID J. FARLING, '16\***  
Retired Partner, Cooper & Lybrand Certified Public Accountants;  
Former Chairman, Cooper & Lybrand's Electric and Gas Utilities Specialization Program;  
Past Member and Chairman, Electric and Gas Utilities Subcommittee;  
American Institute of Certified Public Accountants;  
Immediate Past President, Residents' Association of Waverly Heights.

**DONALD R. FLEISCHER, '19**  
Former Board Vice Chairman and Pension Committee Chairman,  
Board of Pensions of the Presbyterian Church (U.S.A.)  
Actuary and Former Principal, Towers, Perrin, Forster & Crosby, Inc.

**STEPHEN W. FUGALE, '18**  
Vice President and Chief Information Officer,  
Villanova University;  
CIO Advisory Board for the Villanova School of Business;  
Dell CIO Advisory Council, and Strategic Advisory Board Member for Educate Online;  
Principal, The Bernova Group, independent consultant for strategy assessment, business planning and information technology;  
Former Board Member, Akuda Labs.

**GERALD J. HANSEN, JR. '19\***  
Secretary of Trinity College Emeritus, and former Director of Alumni/College Relations;  
Member Board of Directors, SINA Non Profit Corp;  
Chairman of Friends of Simbury Library Capital Campaign;  
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2015 DISCLOSURE STATEMENT**

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President, E. B. Mahoney Builders, Inc.;  
Chairman, Agnes Irwin Building and Grounds  
Committee;  
Committee Chairman and Trustee, National Association  
of Home Builders;  
Board Member, Williamson Trade School and Elk  
Mountain Ski Area.

**A. GERALD RENTHAL, M.D., '16\***

Former President, Lower Merion Board of  
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Directors;  
Member, Shipley School Board of Trustees.

**MALCOLM L. SCHOENBERG, '16 \***

Former Senior Vice President, Warburg Paribas Becker;  
Board Member, Treasurer and Finance Committee  
Chairman, Montgomery County SPCA.

**CHARLES W. SOLTIS, '16**

Managing Director, Soltis Management Services;  
Board Chairman, National Presbyterian and Chester  
County Historical Societies, General Business  
Investment and Ameriquest Corporations, and  
Corporate Life Insurance Company;  
Board Vice Chairman, Historical Society of PA,  
Eastern University and Seminary;  
Immediate Past Board Chairman, Waverly Heights, Ltd.

**ANITA A. SUMMERS, '19\***

Professor Emeritus, University of Pennsylvania;  
President, Penn Association for Emeritus and Senior  
Faculty, and Chair of their Lifelong Learning  
Committee;  
Director, Mathematical Policy Research, Inc.;  
Former Professor of Public Policy and Management and  
also Department Chair, Wharton School of University  
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Former Board Member, Ardmore YMCA;  
Former assistant shoe department editor of *Vogue*.

**TRUSTEE EMERITUS**

**WILLIAM BATES, JR., *Trustee Emeritus\****

Former Chairman, President & CEO, Western Savings Bank  
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2016 DISCLOSURE STATEMENT**

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**ANNE MARIE HEIL, '20**

Senior Director of Marketing -Healthcare, QLIK;  
 Founder of AMHeil Marketing Strategy + Communications;  
 Former Vice President of Marketing, Mirixa.

**ELIZABETH P. MCLEAN, '20\***

The Library Company, Emeritus Trustee, Past President;  
 Independent Publications, Inc., Emeritus Member Advisory Board of Managers;  
 The Morris Arboretum of the University of Pennsylvania, Executive Committee  
 Barnes Arboretum Faculty



**WAVERLY HEIGHTS, LTD.  
2016 DISCLOSURE STATEMENT**

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Litigation and Insurance Law, CIGNA;  
Former Senior Vice President and Officer for Insurance  
Company of North America, Connecticut General  
Life Insurance and CIGNA Reinsurance Company;  
Former Director for Philadelphia Reinsurance Corp.;  
Former Counsel and Managing Attorney for Xerox Corp.

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Emeritus Faculty Member, Faculty Senate Committee  
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2015

CO= R603980  
U= R603980

EQUAL EMPLOYMENT OPPORTUNITY  
2015 EMPLOYER INFORMATION REPORT  
SINGLE ESTABLISHMENT REPORT - TYPE 1

## SECTION B - COMPANY IDENTIFICATION

1. WAVERLY HEIGHTS LTD  
1400 WAVERLY RD  
GLADWYNE, PA 19035

2.a. WAVERLY HEIGHTS LTD  
1400 WAVERLY RD  
GLADWYNE, PA 19035

## SECTION C - TEST FOR FILING REQUIREMENT

1-Y 2-N 3-N DUNS NO.:0 EIN :232212842

MONTGOMERY COUNTY  
c. Y

## SECTION E - ESTABLISHMENT INFORMATION

NAICS: 623311 Continuing Care Retirement  
Communities

## SECTION D - EMPLOYMENT DATA

JOB CATEGORIES	HISPANIC OR LATINO		NOT-HISPANIC OR LATINO												OVERALL TOTALS		
			***** MALE *****						***** FEMALE *****								
			MALE	FEMALE	WHITE	BLACK OR AFRICAN AMERICAN	NATIVE HAWAIIAN OR PACIFIC ISLANDER	ASIAN	AMERICAN INDIAN OR ALASKAN NATIVE	TWO OR MORE RACES	WHITE	BLACK OR AFRICAN AMERICAN	NATIVE HAWAIIAN OR PACIFIC ISLANDER	ASIAN		AMERICAN INDIAN OR ALASKAN NATIVE	TWO OR MORE RACES
EXECUTIVE/SR OFFICIALS & MGRS	0	0	2	0	0	0	0	0	0	0	0	0	0	0	0	0	2
FIRST/MID OFFICIALS & MGRS	1	0	3	0	0	0	6	0	0	1	0	0	0	0	0	0	11
PROFESSIONALS	0	1	5	2	0	4	0	0	0	38	20	0	1	0	0	0	71
TECHNICIANS	0	0	0	1	0	0	0	0	0	3	6	0	0	0	0	0	10
SALES WORKERS	0	0	0	0	0	0	0	0	0	3	0	0	0	0	0	0	3
ADMINISTRATIVE SUPPORT	0	0	0	0	0	0	0	0	0	12	5	0	1	0	0	0	18
CRAFT WORKERS	0	0	11	1	0	0	0	0	0	0	0	0	0	0	0	0	12
OPERATIVES	1	0	6	0	0	0	0	0	0	0	2	0	0	0	0	0	9
LABORERS & HELPERS	0	0	5	7	0	0	0	0	2	0	0	0	0	0	0	0	14
SERVICE WORKERS	2	2	15	41	0	0	0	0	2	18	104	0	0	0	0	0	184
TOTAL	4	3	47	52	0	4	6	4	4	74	138	0	2	0	0	0	334
PREVIOUS REPORT TOTAL	3	3	47	50	0	4	0	3	3	80	138	0	2	0	0	0	330

## SECTION F - REMARKS

DATES OF PAYROLL PERIOD: 09/13/2015 THRU 09/27/2015  
SECTION G - CERTIFICATION

CERTIFYING OFFICIAL: KATHLEEN JUNGCLAUS  
EEO-1 REPORT CONTACT PERSON: KATHLEEN JUNGCLAUS  
EMAIL: KATHY.JUNGCLAUS@WHLTD.ORG

TITLE: VICE PRESIDENT OF HUMAN RESOURCES  
TITLE: VP - HR  
TELEPHONE NO: 6106458610

CERTIFIED DATE[EST]: 12/29/2015 10:29 AM

2016

CO= R603980  
U= R603980

EQUAL EMPLOYMENT OPPORTUNITY  
2016 EMPLOYER INFORMATION REPORT  
SINGLE ESTABLISHMENT REPORT - TYPE 1

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## SECTION C - TEST FOR FILING REQUIREMENT

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GLADWYNE, PA 19035

1-Y 2-N 3-N DUNS NO.:0 EIN :232212842

MONTGOMERY COUNTY  
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			WHITE	BLACK OR AFRICAN AMERICAN	NATIVE HAWAIIAN OR PACIFIC ISLANDER	ASIAN	AMERICAN INDIAN OR ALASKAN NATIVE	TWO OR MORE RACES	WHITE	BLACK OR AFRICAN AMERICAN	NATIVE HAWAIIAN OR PACIFIC ISLANDER	ASIAN	AMERICAN INDIAN OR ALASKAN NATIVE	TWO OR MORE RACES	
EXECUTIVE/SR OFFICIALS & MGRS	0	0	3	0	0	0	0	0	0	3	1	0	0	0	7
FIRST/MID OFFICIALS & MGRS	0	0	3	0	0	0	0	0	0	3	0	0	0	0	6
PROFESSIONALS	0	0	8	3	0	4	0	0	0	30	16	0	1	0	63
TECHNICIANS	0	0	1	0	0	0	0	0	0	1	6	0	0	0	8
SALES WORKERS	0	0	0	0	0	0	0	0	0	3	0	0	0	0	3
ADMINISTRATIVE SUPPORT	0	0	0	0	0	0	0	0	0	10	4	0	1	0	15
CRAFT WORKERS	0	0	8	1	0	0	0	0	0	0	0	0	0	0	9
OPERATIVES	0	0	8	1	0	0	0	0	0	0	1	0	0	0	10
LABORERS & HELPERS	0	0	5	9	0	0	0	0	0	0	1	0	0	0	15
SERVICE WORKERS	1	1	16	35	0	1	0	0	1	15	111	0	1	0	184
TOTAL	1	1	52	49	0	5	0	0	1	65	140	0	3	0	320
PREVIOUS REPORT TOTAL	4	3	47	52	0	4	6	4	4	74	138	0	2	0	334

## SECTION F - REMARKS

DATES OF PAYROLL PERIOD: 07/24/2016 THRU 08/06/2016  
SECTION G - CERTIFICATION

CERTIFYING OFFICIAL: KATHLEEN JUNGCLAUS  
EEO-1 REPORT CONTACT PERSON: KATHLEEN JUNGCLAUS  
EMAIL: KATHY.JUNGCLAUS@WHLTD.ORG

TITLE: VICE PRESIDENT OF HUMAN RESOURCES  
TITLE: VP - HR  
TELEPHONE NO: 6106458610

CERTIFIED DATE[EST]: 08/19/2016 02:21 PM

## WAVERLY HEIGHTS, LTD. POLICY AND PROCEDURES

<b>SUBJECT:</b> NONDISCRIMINATION	
<b>DEPARTMENT:</b> HUMAN RESOURCES	<b>POLICY NUMBER:</b> P-639 <b>PAGE #:</b> 1 of 1

### **Policy:**

All persons are entitled to equal employment opportunities through Waverly Heights, Ltd.

### **Procedure:**

Waverly Heights, Ltd. is committed to providing equal employment opportunity for all persons regardless of race, color, religion, sex, age, marital status, national origin, citizenship status, disability or veteran status.

Equal opportunity extends to all aspects of the employment relationship, including hiring, transfers, promotions, training, terminations, working conditions, compensation, benefits, and other terms and conditions of employment.

Waverly Heights complies with federal and state equal employment opportunity laws and strives to keep the workplace free from all forms of harassment including sexual harassment. Waverly Heights considers harassment in all forms to be a serious offense.

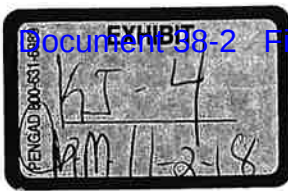
Employees who have been subject to prohibited discrimination or harassment should immediately report the incident to their supervisor, Department Director or Director of Human Resources.

Complaints will be investigated immediately and handled as confidentially as possible. Waverly Heights ensures that employees following this complaint procedure will be protected against illegal retaliation.

Any reported violations of EEO law or this policy will be investigated. Supervisors or employees found to have engaged in discriminatory conduct or harassment will be subject to immediate disciplinary action including possible termination of employment.

<b>APPROVED BY:</b> <u>Thomas P. Han</u> PRESIDENT	<b>EFFECTIVE DATE:</b> 8/28/2011
<b>THIS POLICY REVISES POLICY NUMBER P-639 DATED: 9/23/1998.</b>	





## COMMUNICATIONS

### Open Door Policy

The purpose of Waverly Heights' open door policy is to encourage open communication, feedback, and discussion about any matter of importance to an employee. If any area of your work is causing you concern, you have the responsibility to address the concern with your supervisor.

Whether you have a problem, a complaint, a suggestion or an observation, Waverly Heights and your supervisors want to hear from you. By listening to you, Waverly is able to improve, to address complaints, and to foster employee understanding of the rationale for practices, processes and decisions.

Those employees who wish to choose a more formal process may address their issue through the Employee Problem Solving Procedure.

### Employee Problem Solving Procedure (Policy P-676)

Ongoing issues, questions, concerns or problems can be resolved through effective communication. Waverly Heights believes that positive relationships and mutual trust are developed through effective communication among employees. Therefore, you should feel free to use this procedure to answer any question or respond to any concerns.

The steps in the Problem Solving Procedure are as follows:

- *Step 1.* You are encouraged to talk with your immediate supervisor regarding any issues, questions, concerns or problems you may have. Most issues can be satisfactorily resolved in this manner.
- *Step 2.* If your concern has not been resolved within 48 hours after communication with your supervisor or you believe your supervisor is part of the problem, please bring the matter to the attention of your department director.
- *Step 3.* If your concern has not resolved after communication with your department director, you should submit your concern in writing to the Director of Human Resources. A meeting will be held with you within 48 hours to discuss the concern. If needed, an additional meeting will be scheduled within 24 hours giving the opportunity to provide documentation, evidence and witnesses, regarding your case.
- *Step 4.* Should the concerns still not be resolved, you may put your concerns in writing to the President of Waverly Heights. A meeting will be held within 48 hours with you, the Director of Human Resources and your department director where all previous meetings and their outcomes will be reviewed and discussed. The president will make a final decision.

You may contact the Director of Human Resources at any time in this process without fear of reprisal. Furthermore, any employee may use this Problem Solving Program without the fear of any retaliation. Any employee who interferes with another employee's use of this program will be disciplined up to and including termination.

### Solicitation and Distribution (Policy P-687)

Selling, soliciting or canvassing during work time or distributing literature in working areas on Waverly property is not permitted. Violation of this policy will lead to disciplinary action.

### Electronic and Other Equipment

All electronic communication systems are the property of Waverly Heights and, as such, are to be used solely for work related purposes. This includes but is not limited to, personal computers, computerized databases, telephone, voice mail, the Internet, Waverly Heights Intranet, and all communications and stored information, or contained in Waverly Heights' information systems.

The use of such equipment and software for private purposes is strictly prohibited. Employees or consultants using this equipment for personal purposes do so at their own risk.

## WAVERLY HEIGHTS, LTD. POLICY AND PROCEDURES

**SUBJECT:** PROBLEM-SOLVING / GRIEVANCES

**DEPARTMENT:** HUMAN RESOURCES

**POLICY NUMBER:** P-676

**PAGE #:** 1 of 2

### **POLICY:**

It is the philosophy of Waverly Heights that every employee is entitled to fair and equitable treatment in all activities of Waverly Heights, particularly in the application of established employment practices.

Through this policy and through the practices of Waverly Heights, all employees are offered guidelines to use in solving problems or concerns relating to their employment.

This procedure may be initiated by any employee at any time without fear of recrimination or penalty. It is in the best interest of all that problems receive proper attention.

The employee problem-solving procedure is intended to offer all employees a system for handling problems and dissatisfaction without fear of reprimand or losing their job.

### **PROCEDURE:**

#### **A. Employee's Responsibilities – Steps in the Procedure**

If an employee has a problem concerning any work-related activity or feels that he or she has been treated unfairly, the employee should:

1. Discuss the matter with the immediate supervisor as soon as possible;
2. If no satisfactory solution is reached with the immediate supervisor, or if it is impractical to discuss the matter with the supervisor, the employee should arrange a meeting with the supervisor's manager or the Director of Human Resources.
3. If not satisfied with the results of steps one or two, the employee should state the problem in writing, describing the action of steps one and two, and submit this to the President of Waverly Heights. If the concern cannot be stated in writing, an appointment should be scheduled with the President to discuss the matter.

#### **B. Supervisor's Responsibilities**

##### **1. Initial review with employee:**

- a. Give the employee an adequate and objective conference session.
- b. Assure the employee that he or she need not fear any reprisal for registering a problem.
- c. Ask the employee to repeat the problem or situation. The supervisor should concentrate on listening to what the employee is saying: repetition may help to present to story accurately. The supervisor should make informal notes of the facts; they may be helpful later. The supervisor should ask the employee what resolution he or she feels would be appropriate.

**APPROVED BY:**

  
PRESIDENT

**EFFECTIVE DATE:** 7/15/2011

**THIS POLICY REVISES POLICY NUMBER P-676 DATED: 7/30/2008**

## WAVERLY HEIGHTS, LTD. POLICY AND PROCEDURES

**SUBJECT:** PROBLEM-SOLVING / GRIEVANCES

**DEPARTMENT:** HUMAN RESOURCES

**POLICY NUMBER:** P-676  
**PAGE #:** 2 of 2

- d. The supervisor should repeat the essential points to the employee, and ask the employee if he or she agrees with the summary.
- e. The supervisor should inform the employee that the situation will be researched, and should indicate the time frame within which the employee should anticipate a follow up conference.

### 2. Obtain the Facts

The supervisor should look into the factual details of the problem. The supervisor should talk to people concerned; review any existing policies as they pertain to the situation; and review the employee's personnel record to determine if there has been a similar experience in the past.

### 3. Take Action

- a. After assembling the facts, action should be taken immediately. Corrective action, if necessary, should be done within five (5) work days. If the employee is in error, a full and careful explanation should be made to the employee. If the employee is correct in his or her complaint, advise the employee of the corrective action that will be taken.
- b. Inform the employee of this or her right to appeal by taking the complaint to the next step in the problem-solving/grievance procedure. This should be done within five (5) working days.

### 4. Follow up

A successful problem-solving procedure depends upon proper follow-up by management. The action taken at each step should be as rapid as possible. Dissatisfied employees often negatively affect the providing of quality service.

### C. Conclusion

If the employee chooses to appeal his or her supervisor's decision and use the problem-solving/grievance procedure, the final step may go as far as the President.

The President will discuss the situation with the employee and also consider the recommendations of the Department Director and Director of Human Resources. The President's decision is final and will be reached within five working days.

The aggrieved employee should be advised personally by the President as to the final decision. Appropriate documentation collected during the process will then be placed in the employee's personnel file.

In all phases of this process and after its completion, all those involved should maintain strict confidentiality in order to respect the rights of the employee.

**APPROVED BY:**

*Thomas P. Han*  
PRESIDENT

**EFFECTIVE DATE:** 7/15/2011

**THIS POLICY REVISES POLICY NUMBER P-676 DATED:** 7/30/2008



## WAVERLY HEIGHTS, LTD. POLICY AND PROCEDURES

**SUBJECT:** SEXUAL HARASSMENT

**DEPARTMENT:** HUMAN RESOURCES

**POLICY NUMBER:** P-685

**PAGE #:** 1 of 1

### **POLICY:**

It is the policy of Waverly Heights to provide a work environment free of discrimination. In keeping with this policy, Waverly Heights and its representatives will not permit or tolerate sexual harassment of its employees. Harassment on the basis of sex is unlawful.

### **PROCEDURE:**

Unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

- 1) Submission to such conduct is made either explicitly or implicitly as a term or condition of proposed or continued employment; and/or
- 2) Submission to or rejection of such conduct by an individual is used as the basis for employment decisions; and/or
- 3) Such conduct has the purpose or effect of interfering with an individual's work performance by creating an intimidating, hostile or offensive working environment.

Waverly Heights' Administration encourages any person who believes that he or she has been subjected to sexual harassment from co-workers, supervisors, non-employees or visitors on Waverly Heights' property, or clients to bring the matter to the attention of the Director of Human Resources or to Administration for confidential handling of the situation.

If, after the circumstance have been reviewed, sexual harassment is found to have occurred, appropriate action, up to and including termination, will be taken.

**APPROVED BY:**



**PRESIDENT**

**EFFECTIVE DATE:** 4.1.2014

**THIS POLICY REVISES POLICY P-685 DATED 12/1/1988.**

# WAVERLY HEIGHTS

## CIVIL RIGHTS COMPLIANCE

### EMPLOYEE AWARENESS



In accordance with applicable Federal and State Civil Rights laws and regulatory requirements, you, as an employee engaged in the provision of services, may not directly or indirectly:

- Refuse, withhold or deny services of this agency to any present or prospective client because of their race, color, religious creed, handicap, ancestry, national origin, age or sex.

Furthermore, as an employee of this facility, you have the right:

- To file a complaint of discrimination if you feel you have been discriminated against on the basis of your race, color, religious creed, handicap, ancestry, national origin, age or sex. Complaints of discrimination may be filed with any of the following:

- Waverly Heights  
1400 Waverly Road  
Gladwyne, PA 19035
- Department of Public Welfare  
Civil Rights Compliance Unit  
1400 Spring Garden Street  
State Office Building - Room 502  
Philadelphia, PA 19130
- Pennsylvania Human Relations Commission  
711 State Office Building  
Broad & Spring Garden Streets  
Philadelphia, PA 19130
- Office for Civil Rights  
U.S. Department of Health  
and Human Services  
Region III, P.O. Box 13716  
Philadelphia, PA 19101

*[Handwritten Signature]*  
(Employee Signature)

4/7/97  
(Date)

#### Board of Directors

William Bates, Jr., Chairman  
Dan M. McGill, Ph.D., Vice Chairman  
P. Vincent Kellogg, Jr., Treasurer  
Jean M. Krohn, Secretary

Mary Lou Barry  
George B. Bamard  
H. Robert Goincart  
Randall E. Copeland

Burton H. Etherington, Jr.  
Mary B. Forgie  
Jane Mearns Hastings  
Dean J. Markazin

A. W. Martin  
William W. Olmstead  
Dieter E. Peiz, M.D.  
Winthrop deV. Schwab

Jane C. Wingt  
D. Stratton Woodruff, Jr., M.D.  
Robert H. Young, Esq.

## WAVERLY HEIGHTS, LTD. POLICY AND PROCEDURES

<b>SUBJECT:</b>	<b>SOCIAL MEDIA POLICY</b>		
<b>DEPARTMENT:</b>	<b>HUMAN RESOURCES</b>	<b>POLICY NUMBER:</b>	<b>P-699</b>
		<b>PAGE #:</b>	<b>1 of 3</b>

### **POLICY:**

Waverly Heights ("WHL") utilizes social media (e.g.: Facebook, Twitter, Linked In, personal blogs, websites, et cetera) to provide a potentially effective way for the external public, and internal stakeholders to communicate and to keep abreast of new trends, topics, and perspectives. The use of social media by WHL and its stakeholders also entails potential public relations and compliance risks, should anyone representing or affiliated with WHL post information that is disparaging of the company or individual stakeholders or violate WHL's policy or regulations. WHL has an interest in promoting and protecting its reputation as well as the dignity, respect, and confidentiality of its residents, clients, and employees as depicted in social media, whether through WHL's own postings or that of others. Towards this end, WHL will actively manage the content of its social media sites to uphold the mission and values of the company. Also, WHL expects employees who identify themselves with WHL in either internal or external social media to conduct themselves according to this policy. WHL Human Resources and hiring managers are not to review social media posting by or about applicants for employment.

### **PROCEDURES:**

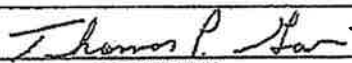
#### **Guiding principles**

1. **Integrity** – Postings will reflect the highest moral principles and professional standards of conduct and content. Accuracy and truthfulness are expected.
2. **Respect** – Postings will be respectful and uphold the dignity and reputation of residents, clients, employees, vendors and contractors, WHL and all those associated with the company. Comments should add value to the discussion, respecting the differing opinions of others, and avoid inflammatory debates or negative assessments.
3. **Privacy and confidentiality** – Communications via social media should never be considered to be private. Comprising a "community", the stakeholders of WHL are privy to the personal and protected health information of others which must be protected and not shared on social media.
4. **Compliance** – Social media activity will comply with applicable law, regulation and WHL policy.

#### **Company Activity**

1. WHL will monitor postings related to its activity and reputation and, to the extent that it controls the content, will remove, request removal, or reply to any posting that presents an inaccurate or slanderous depiction of the company or any of its stakeholders. When it does not fully control the content, WHL will post or make adequate disclaimers of responsibility. These disclaimers will be written by the Director of Marketing.
2. Copyrighted materials will only be used by WHL if prior permission is obtained from the owners of the material or the material is properly referenced according to copyright laws.

APPROVED BY:

  
PRESIDENT

EFFECTIVE DATE: 01/15/2014

THIS IS A NEW POLICY.

## WAVERLY HEIGHTS, LTD. POLICY AND PROCEDURES

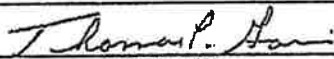
<b>SUBJECT:</b>	<b>SOCIAL MEDIA POLICY</b>		
<b>DEPARTMENT:</b>	<b>HUMAN RESOURCES</b>	<b>POLICY NUMBER:</b>	<b>P-699</b>
		<b>PAGE #:</b>	<b>2 of 3</b>

3. The use of social media for the purposes of advertising and promoting WHL will meet the applicable standards, regulations and company policy (e.g.: fair trade, fair housing, equal opportunity employer, etc.)
4. Only employees authorized by the president of WHL may represent WHL's positions, opinions or strategies in social media.
5. As needed, WHL will conduct a legal review of the content of the social media sites it controls or manages, and reserves the right to pursue legal action against any party that engages in defamation of WHL via social media.
6. WHL reserves the right to file an official complaint against those who violate legal and regulatory requirements in the use of social media, (e.g.: HIPAA, unlawful harassment, resident rights.)

### Employee Activity

1. WHL will not discourage or inhibit social media activity by employees that is considered protected concerted activity under the National Labor Relations Act.
2. Any behavior that is not permitted in the workplace is also prohibited in social media. This includes but is not limited to ethnic slurs, personal insults, intolerance of race, religion, sexual orientation or disability; ageist or sexist comments, ridicule and obscenity. (Please reference Policy P-639 relevant to Equal Employment Opportunity.)
3. The use of social media at work is restricted to authorized business purposes only.
4. When indicating a relationship to WHL, employees should use their real name and indicate their relationship with the company and never represent themselves as someone other than who they are.
5. Unless specifically authorized to represent WHL, employees should clearly indicate that their statements are their personal opinions only and do not reflect the position or opinion of WHL.
6. Residents, clients, their family members, other employees, vendors, contractors or any party associated with WHL should not be referenced in a posting without first obtaining permission from that individual or organization.
7. Any facts cited should be verifiable by reference or link to a neutral and objective source.
8. Internal or external social media is not to be used by employees as a substitute for internal WHL business communications. Within social media, employees should not "talk shop", discuss, evaluate, or criticize residents, co-workers or others associated with WHL.
9. WHL employees are prohibited from discussing legal matters, litigation, regulatory compliance issues, or WHL financial performance in internal or external social media.
10. The content of postings on social media must never violate any person's right to privacy. Referencing anyone's protected health information (per HIPAA) is strictly prohibited.
11. Employees may not use social media for soliciting others related to WHL for their own personal gain. (Please reference Policy P-687.)

APPROVED BY:

  
 PRESIDENT

EFFECTIVE DATE: 01/15/2014

THIS IS A NEW POLICY.



## WAVERLY HEIGHTS, LTD. POLICY AND PROCEDURES

**SUBJECT:** SOCIAL MEDIA POLICY

**DEPARTMENT:** HUMAN RESOURCES

**POLICY NUMBER:** P-699  
**PAGE #:** 3 of 3

12. In order to maintain appropriate managerial distance, WHL employees who have supervisory (chain of command) or institutional (subject matter experts such as human resources) authority are strongly discouraged from "friending" or linking to other WHL employees in social media who are or may be subject to their authority or policy enforcement responsibilities.
13. Any employee who violates this or related policies may be subject to disciplinary action up to and including dismissal. If the conduct violates legal or professional standards, WHL may consider notifying the appropriate authorities which can result in civil or criminal penalties as provided by law.

**APPROVED BY:**

*Thomas P. Bari*  
PRESIDENT

**EFFECTIVE DATE:** 01/15/2014

**THIS IS A NEW POLICY.**

**Executive Team/Senior Leadership**  
**Ages as of September 2016**

<b>Name</b>	<b>Hire Date</b>	<b>Years of Service as of 7/25/19</b>	<b>Job Title</b>	<b>Date of Birth</b>	<b>Age as of 9/26/16</b>
Thomas Garvin	07/04/2010	9.06	President and CEO	08/22/1969	47
Meredith Feher	04/29/2014	5.24	Senior VP of Health Care Center	04/10/1971	45
Robert Supper	05/01/2013	6.24	Senior VP of Finance/CFO	06/20/1958	58
Patricia Rodgers	02/10/1992	27.47	VP of Waverly Care Associates	03/30/1959	57
Janet Thompson	04/17/1995	24.29	VP of Marketing	08/27/1950	66
Marc Heil	10/13/1997	21.79	VP of Building Services	11/16/1970	45
Lauren Kelley <sup>1</sup>	12/19/2016	2.60	VP of Human Resources (Current)	05/19/1973	43
Constance Dogan	06/06/2006	13.14	Director of Environmental Services	04/11/1983	33
Amy Blessing	05/09/2011	8.21	Executive Services	11/25/1968	47
Jim Heffren	09/09/2014	4.87	Director of Dining Services	06/11/1965	51
Kathleen Jungclaus <sup>2</sup>	04/07/1997	N/A	VP of Human Resources (Former)	12/09/1960	55
Jacqueline Donnelly	03/15/1997	22.38	Director of Nursing	12/05/1964	51
Thomas Lynch	09/08/1988	30.90	Director of Maintenance	12/09/1967	48

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<sup>1</sup> Replaced Plaintiff

<sup>2</sup> Plaintiff





March 26, 1997

Kathleen Metzger  
59 Bright Road  
Hatboro, PA 19040

Dear Kathleen:

Congratulations and welcome to Waverly Heights!

We are pleased to confirm our offer and your acceptance of the position of Director of Human Resources at Waverly Heights, Ltd. As we discussed, your compensation/benefits package shall be as follows:

**START DATE:** April 7, 1997

**COMPENSATION:** \$46,000 (\$1,769.23 biweekly), with a 90 day review

**OTHER BENEFITS**

**HEALTH INSURANCE:** Waverly offers health insurance through Keystone HMO and Blue Cross/Blue Shield. Waverly will pay 100% for family coverage on the first day of the month following employment.

**LIFE INSURANCE:** Total premium is paid by Waverly. Your life insurance coverage will be two times your annual salary. You will be eligible for life insurance on the first day of the month following 90 days of employment.

**DENTAL INSURANCE:** Dental insurance is offered through Educators Mutual Life Insurance Company. Waverly will pay 100% for family coverage. You will be eligible for dental insurance on the first day of the month following employment.

**LONG TERM DISABILITY:** Waverly will pay 100% of the premium. The elimination period will be 90 days, and the benefit will be 60% of your salary.



March 26, 1997  
Kathleen Metzger

**PENSION PLAN:** You will become eligible for this program the first day of the month following your anniversary date, providing you have worked at least one thousand hours during the year.

**HOLIDAYS:** You will be eligible for six paid holidays.

**PERSONAL DAYS:** You will be eligible for two Personal Days; one during the first half of the calendar year and the second during the second half of the calendar year.

**ALL PURPOSE LEAVE DAYS (APL):** You will be eligible for 25 APL days per year. These days may be used for vacation or sick time. They will begin to accrue on your first day of employment, however, may not be used for three months.

**MEALS:** As a Director, you may receive a meal during the work day at no cost.

To acknowledge your acceptance of the above, please return one signed original of this letter in the enclosed return envelope.

On behalf of our Board of Directors and all Waverly staff, I warmly welcome you to Waverly Heights, and very much look forward to working with you.

Sincerely,

  
William M. Maguire  
President

WMM:maw

  
Signature of Acceptance

Waverly-0320

Kathleen M. Jungclaus

1129 Mill Road Circle  
 Rydal Pa, 19046  
 215-758-2724 home  
 215-630-3094 cell

**SUMMARY:**

Human Resource professional with broad background in health care environments. More than 20 years background in increasingly responsible positions. Creative and resourceful problem solver with proven track record for the attainment of positive financial outcomes, excellent customer service scores, staff training and development, project and program development.

**Recognized strengths include:**

Leadership Skills  
 Redesign Strategies  
 Strategic Planning

Fiscal Management  
 Organizational Development  
 Customer Service

Training Development  
 Staff Development  
 Employee Relations

**Professional experience*****Waverly Heights, Ltd.***

1997 - present

Gladwyne, Pa. 19035

Vice President, Human Resource

- Contribute to the organizational development through short term and long range planning.
- Program development that enhances the work environment and the services provided to our residents.
- Coordinate health, dental, life, unemployment, worker's compensation, STD, LTD, FMLA and ADA benefits.
- Successful recruiting of entry level through executive level staff by an effective screening, interviewing and hiring process.
- Responsible for the recruitment and retention initiatives that have resulted in a 9% turnover rate.
- Maintain a financially stable organization by managing department, facility and capital budgets.
- Develop and implement policies and procedures that coincide with the employee handbook and company standards.
- Develop, organize and implement training and orientation programs for all staff.
- Maintain growth in the area of performance improvement through various tools.
- Ensure compliance with all Local, State, Federal and OSHA regulations
- Sitting Board Member to Churchill, a self-funded Captive Insurance Program for worker's compensation
- Direct all employee relation's issues and guide managers in effective coaching and disciplinary actions.
- Responsible for the overall morale and teamwork of employees throughout the facility.
- Responsible for the compensation system, annual review of job descriptions; pay grade placement and accurate evaluation system.
- Direct report to the President and Human Resource Committee of the Board of Trustees.
- Acting Risk Manager
- Successfully attained recognition as a "Best Place to Work" in Pa. 2011, 2012, 2013.
- Acquiring Nursing Home Administrators License.

***Northwestern Human Services***

1995 - 1997

Erdenheim, Pa

Human Resource Director

- Overseeing 650 employees in a statewide children's' program.
- Coordination of all benefits.
- Effectively recruit, interview and select qualified candidates throughout the state.
- Program and fiscal accountability for all county locations.
- Writing and implementing company policies and procedures.
- Organized, scheduled and conducted personnel training, orientations, OSHA training and Mandt Crisis Intervention Training to all staff in thirteen counties in Pennsylvania.

P-1

- Responsible for overall morale, teamwork and employee relations function throughout the state.
- Bayada Nurses 1985 - 1993  
Philadelphia and Willow Grove, Pa.  
Senior Staff Supervisor  
Staff Supervisor
- Supervised all office personnel and office functions.
  - Recruited, scheduled and supervised all home care staff.
  - Directed and implemented all disciplinary actions.
  - Responsible for payroll through ADP system, insurance billing and authorizations.
  - Prepared for JCAHO accreditation.
  - Maintained contract guidelines and customer relations.

Education

Gwynedd Mercy College Gwynedd Valley, Pa.  
BA. In Psychology  
Minor in Education/ Community Services  
Member: SHRM , Personnel Professional Network

References

Professional and personal references are available upon request.

P-2

Kathleen M. Jungclaus

1129 Mill Road Circle  
Rydal Pa, 19046  
215-758-2724 home  
215-630-3094 cell

**SUMMARY:**

Human Resource professional with broad background in health care and manufacturing environments. Creative and resourceful problem solver with proven track record for the attainment of positive financial outcomes, excellent customer service scores, staff training and development, project and program development.

**Recognized strengths Include:**

Leadership Skills  
Redesign Strategies  
Strategic Planning

Fiscal Management  
Organizational Development  
Customer Service

Training Development  
Staff Development  
Employee Relations

**Professional experience**

***KMJ Consulting***

Catelli Brothers Inc.

5/2017 – 5/2018

- Developed Corporate Mission Statement and Strategic Departmental Goals and reporting process.
- Through employee engagement meetings identified areas of opportunity that would reduce turnover and enhance the employee experience.
- Provided direction for the development of a pay matrix to ensure compensation matched length of service and job skill.
- Communicated, trained, and interpreted human resource policies and procedures to establish uniform understanding.
- Interacted with the client to understand and gather requirements for enhancements, analyzed the need and proposed solutions.
- Provided specialized project administration including; analyzing data, in-depth research, evaluation and recommendations to management on department projects.
- Created corporate job description database.
- Served as liaison and advised management regarding legal, ethical and moral disciplinary and termination practices.
- Provided employee relations and retention services.
- Served as liaison with assigned areas to coordinate the HR needs including, staffing and succession planning, employee relations, consolidations and divestitures, information dissemination and policy review.
- Counseled employees in areas relating to manager-employee as well as peer-peer relationships, work-life balance, and organizational procedures and policies

***Waverly Heights, Ltd.***

Gladwyne, Pa. 19035

4/1997 – 9/2016

Vice President, Human Resource

- Contribute to the organizational development through short term and long-range planning.
- Program development that enhances the work environment and the services provided to our residents.
- Coordinate health, dental, life, unemployment, worker's compensation, STD, LTD, FMLA and ADA benefits.
- Successful recruiting of entry level through executive level staff by an effective screening, interviewing and hiring process.
- Responsible for the recruitment and retention initiatives that have resulted in a 9% turnover rate.

P-3



- Maintain a financially stable organization by managing department, facility and capital budgets.
- Develop and implement policies and procedures that coincide with the employee handbook and company standards.
- Develop, organize and implement training and orientation programs for all staff.
- Maintain growth in the area of performance improvement through various tools.
- Ensure compliance with all Local, State, Federal and OSHA regulations
- Sitting Board Member to Churchill, a self-funded Captive Insurance Program for worker's compensation
- Direct all employee relation's issues and guide managers in effective coaching and disciplinary actions.
- Responsible for the overall morale and teamwork of employees throughout the facility.
- Responsible for the compensation system, annual review of job descriptions; pay grade placement and accurate evaluation system.
- Direct report to the President and Human Resource Committee of the Board of Trustees.
- Acting Risk Manager
- Successfully attained recognition as a "Best Place to Work" in Pa. 2011, 2012, 2013.

**Northwestern Human Services**

1995 – 1997

Erdenheim, Pa

Human Resource Director

- Overseeing 650 employees in a statewide children's' program.
- Coordination of all benefits.
- Effectively recruit, interview and select qualified candidates throughout the state.
- Program and fiscal accountability for all county locations.
- Writing and implementing company policies and procedures.
- Organized, scheduled and conducted personnel training, orientations, OSHA training and Mandt Crisis Intervention Training to all staff in thirteen counties in Pennsylvania.
- Responsible for overall morale, teamwork and employee relations function throughout the state.

**Bayada Nurses**

1985 – 1993

Philadelphia and Willow Grove, Pa.

Senior Staff Supervisor

Staff Supervisor

- Supervised all office personnel and office functions.
- Recruited, scheduled and supervised all home care staff.
- Directed and implemented all disciplinary actions.
- Responsible for payroll through ADP system, insurance billing and authorizations.
- Prepared for JCAHO accreditation.
- Maintained contract guidelines and customer relations.

**Education**

Gwynedd Mercy College Gwynedd Valley, Pa.

BA. In Psychology

Minor in Education/ Community Services

Member: SHRM , Personnel Professional Network

P-4



**Waverly Heights, Ltd.  
Job Profile**

**Job Title:** Director of Human Resources

**Date:** March 1995

**Dept:** Human Resources

**FLSA Status:** Exempt

**Pay Grade:** E8

**PURPOSE OF POSITION**

Oversees the full range of Human Resources Management programs to ensure positive relationships for the organization with its staff, achievement of the community's business goals, and compliance with public regulation.

**EXPECTED CONTRIBUTIONS**

- 1. Chart direction for HRM program; define organization philosophy, program requirements and priorities.**

Performance Measures

- a) timeliness in establishing/ updating philosophy/ strategic plan.
- b) management acceptance of plan; consistency with business plan.
- c) associates' awareness of organization philosophy and programs.
- d) progress against plan; management assessment of progress v. milestones.

Key Activities

- identify specific program strategies which compliment the directions and objectives of Waverly (EF)
- work with Directors to develop operating programs and to implement initiatives (EF)
- assess program effectiveness in each major functional area and report to management on progress/ needed modifications. (EF)

- 2. Ongoing management of key HRM programs, including staffing, compensation & benefits, employee training and development.**

Performance Measures

- a) timeliness of service delivery/ updating programs for changing business conditions
- b) program costs v. budget
- c) consistency of activities/ decisions with philosophy and objectives.

Key Activities

- timeliness in service delivery/ updating programs for changing business conditions (EF)
- compensation & benefits plan design/ updating to assure a competitive reward opportunity for all staff (EF)

Waverly-0099

- skills and management training and development programs to enhance associates' capabilities and the performance of the organization (EF)

### **3. Maintain effective staff relations in all segments of Waverly.**

#### Performance Measures

- a) Staffs' awareness/understanding of organization policies and practices.
- b) timeliness/accuracy/thoroughness of response to staffs' inquiries.
- c) managers effectiveness/consistency in applying policies.
- d) staff morale.

#### Key Activities

- maintain proactive communication about changing operating conditions/practices. (EF)
- counsel managers/staff on issues related to performance, development, and career progression (EF)
- survey staffs' attitudes, preferences, and perceptions in support of HR program evaluation and planning (EF)

### **4. Regulatory Compliance**

#### Performance Measures

- a) timeliness/accuracy in compliance reporting
- b) reported violations, deficiencies

#### Key Activities

- maintenance of employee information files (EF)
- advice to managers and supervisors on compliance issues/requirements (EF)
- filing of reports and policy statements with Federal, State and Local agencies as required (EF)

### **5. Select, train, develop motivate and retain qualified staff for Human Resource services.**

#### Performance Measures

- a) competence of staff
- b) staff readiness to accept additional responsibilities
- c) staff moral/turnover.

#### Key Activities

- communicate regularly with staff on corporate and departmental policies and practices affecting its work (EF)
- develop annual performance plans for subordinates and monitor performance during the period (EF)
- counsel staff on developmental needs and establish action plans to foster professional development (EF)

## QUALIFICATIONS AND COMPETENCIES

The Human Resource Director is a senior level management position charged with responsibility for establishing, disseminating and monitoring Human Resources policies and practices in support of business goals achievement.

The position incumbent is responsible for effective program management in all aspects of the function: staffing, training and development, compensation and reward systems, employee relations.

The position requires:

- broad working knowledge of all Human Resources functions and related compliance issues as well as familiarity with the Waverly Heights organization. the knowledge requirement is equivalent to a Bachelor's degree in HRM with 4-6 years of relevant working experience (EF)
- strong analytical and problem-solving skills to assess operating situations and evaluate alternative courses of action (EF)
- sound judgment in researching, developing, and recommending policies and procedures for Waverly (EF)
- strong communication/interpersonal skills for daily interactions with executive staff, subordinates, peers and external constituencies (EF)
- knowledge of accounting principles and budgets (EF)
- manual dexterity adequate for the operation of a PC/Keyboard and use of a standard telephone (EF)

  
Employee Signature/Date

\_\_\_\_\_  
Supervisor Signature/Date

Key: (EF) Essential Function  
(NF) Non-essential function

Waverly-0101

## Waverly Heights

## Job Profile

Position Title: <u>Director of Human Resources</u>		Pay Grade: <u>E-10</u>																						
Department: <u>Human Resources</u>		FLSA Status: <u>Exempt</u> <u>Non-Exempt</u>																						
Effective: <u>1/1/05</u>																								
<u>Expected Contributions:</u>	<u>Governmental and Accreditation Regulations</u>	<u>Budget</u>																						
<u>Management/Morale</u>	<u>Regulations</u>	<u>Priority Weight = 2</u>																						
<u>Priority Weight = 3</u>	<u>Priority Weight = 1</u>																							
<p><u>Key Activities:</u></p> <ul style="list-style-type: none"><li>• Manage department staff in a manner consistent with the Employee Handbook, Corporate Policies and Procedures and the Departmental Operations Manual(s), creating an effective and positive work environment.</li><li>• Evaluate employee performance annually and as needed in accordance with Waverly guidelines, policies, and procedures.</li><li>• Counsel staff on developmental needs and establish plans to foster professional development.</li><li>• Maintain on a current basis the HR Operations Manual based on revisions approved by the President.</li><li>• Reviews and establishes job responsibilities, objectives and standards of performance for the Departments Managers, Supervisors and Staff.</li><li>• Recommend the annual Management Plan objectives for the department and monitor achievement levels.</li><li>• Recommend new or revised corporate policies and procedures for all areas of responsibility in the Human Resource Department.</li><li>• Manage the hiring, promotion, demotion, discipline, and discharge of all employees within the corporation in conjunction with the Department Directors.</li><li>• Direct staff on the corporate and departmental policies and procedures affecting their work</li><li>• Direct the orientation of all new staff to the Human Resource Department.</li><li>• Completes projects as assigned by the President.</li><li>• Manages the recruitment, evaluation, and selection technique to be used in meeting the needs of Waverly Heights.</li><li>• Directs the development of procedures to attract, interview, screen, test, and select employees that meet immediate needs.</li><li>• Completes annual statistical report with related analysis.</li></ul>	<ul style="list-style-type: none"><li>• Directs the development of policies and procedures to ensure compliance with CCAC/CARF accreditation requirements.</li><li>• Manages accuracy and content of employee files according to department standards, State and Fed. Regulations.</li><li>• Coordinates the completion of wage and hour, unemployment, and worker's compensation requests for wage information within a 4-day period.</li><li>• Coordinate mandatory Drug Testing as regulated by the Department of Transportation.</li><li>• Manages employee files on Transportation Department Staff in compliance with the DOT standard. Monitor employee physicals, MVR checks, and training requirements as outlined by regulations. Act as liaison between Waverly Heights, and Consortium Provider and Waverly Heights.</li><li>• Manages completion of verifications:<table><tr><td><u>Position</u></td><td><u>Verification</u></td></tr><tr><td>RN</td><td>Pa. License</td></tr><tr><td>CNA</td><td>Pa. Certification</td></tr><tr><td>All drivers of WH vehicles</td><td>Pa. MVR</td></tr><tr><td>All employees</td><td>Criminal Background</td></tr></table></li><li>• Completes the following reports required by regulatory authorities:<table><tr><td><u>Authority</u></td><td><u>Report</u></td></tr><tr><td>OSHA</td><td>200 Log</td></tr><tr><td>UCAC</td><td>Unemployment records</td></tr><tr><td>EEOC</td><td>annual report</td></tr><tr><td>IRS</td><td>5500, Section 125</td></tr><tr><td>State of Pa</td><td>Pa. New Hire Report</td></tr></table></li><li>• Coordinate oversight of the Safety Committee with the Safety Director and the Safety Officer.</li><li>• Reviews circumstances affected by wage/hour laws, unemployment claims, and requests approval for legal counsel input.</li><li>• Completes tasks necessary to defend charges resulting from employee claims i.e.: Employee Relations Commission</li></ul>	<u>Position</u>	<u>Verification</u>	RN	Pa. License	CNA	Pa. Certification	All drivers of WH vehicles	Pa. MVR	All employees	Criminal Background	<u>Authority</u>	<u>Report</u>	OSHA	200 Log	UCAC	Unemployment records	EEOC	annual report	IRS	5500, Section 125	State of Pa	Pa. New Hire Report	<ul style="list-style-type: none"><li>• Completes annual operational and capital budget requests.</li><li>• Manages the approved departmental operating budgets.</li><li>• Analyze the operational changes that effect expenses and report on plans to address budgetary concerns.</li><li>• Manages the documentation required on all terminations to appropriately control unemployment costs.</li><li>• Coordinate a return to work program that allows for controlled costs charged to worker's compensation.</li><li>• Directs the compensation program, consistent with the Compensation Manual and Pay Practices.</li><li>• Analyze and recommend changes to benefit plan design for Health, Pharmacy, Dental, Life and Disability Insurance.</li><li>• Coordinate the completion of staff survey on attitudes, preferences, and perceptions in support of Waverly's benefit package.</li><li>• Complete the AASHA Annual Salary Survey for CCRC's and Nursing Homes, Strategic Compensation Planning Salary Survey, Personnel Professional Networks Salary and Benefits Survey.</li><li>• Complete the biweekly deposits to the Waverly Heights TDA.</li><li>• Coordinate and process the annual Pension deposit.</li><li>• Coordinate and process the annual Forfeiture Deposit to the Pension.</li><li>• Direct updating and distribution of the pay grade chart and pay increase guideline chart.</li><li>• Direct the coordination of quarterly mini presentations by both Educational Credit Union and Mutual of America.</li><li>• Review and approve all pay increases below level of Department Director.</li></ul>
<u>Position</u>	<u>Verification</u>																							
RN	Pa. License																							
CNA	Pa. Certification																							
All drivers of WH vehicles	Pa. MVR																							
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IRS	5500, Section 125																							
State of Pa	Pa. New Hire Report																							

Waverly-009

Waverly-0091



<p><u>Training</u></p> <p>Priority Weight = 3</p>	<p><u>Employee Relations</u></p> <p>Priority Weight = 2</p>
<ul style="list-style-type: none"> <li>• Establish training requirements and direct the completion of training staff for all HR Staff.</li> <li>• Complete and revise as necessary the training manuals necessary for a program of Management Training.</li> <li>• Coordinate the planning and delivery of training programs for all employee positions.</li> <li>• Evaluate and recommend outside training programs for managers, supervisors and directors.</li> <li>• Direct the recording of Safety, Technical, Cultural and Management Training Programs received by employees.</li> <li>• Plan, and coordinate employee participation in P.A. Weather Emergency Preparedness Training.</li> <li>• Complete tasks in accordance with guidelines found in the Manager's Manual.</li> <li>• Manage the annual mandatory training for all employees to confirm that it is regularly conducted, reviewed and revised as needed.</li> <li>• Manage the new employee orientation program for all employees of WHL and WCA to confirm that it is regularly conducted, reviewed and revised as needed.</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain communication and ongoing contact with other department managers and staff to foster teamwork and to ensure success of interdepartmental work and projects.</li> <li>• Coordinate opportunities for the HR staff to interact with other Waverly staff in meetings, on committees, and in special projects or functions.</li> <li>• Maintain respect for all staff and maintain confidentiality of employee communications and records in accordance with Waverly policies and procedures.</li> <li>• Direct staff through department meeting as necessary to inform staff of any and all changes that affect the department or members of the department.</li> <li>• Direct positive communications and effective relationships with residents.</li> <li>• Conduct regular departmental management team meetings.</li> <li>• Share with staff positive and negative feedback received from other staff, residents, and their family members.</li> <li>• Directs the resolution of employee grievances raised by employees.</li> <li>• Manage all employee special events and implement changes as necessary.</li> <li>• Coordinate the completion of staff survey on attitudes, preferences and perceptions of Waverly Heights work environment.</li> <li>• Coordinate the response to issues submitted through the employee suggestion box.</li> <li>• Coordinates appropriate communications regarding a change in a service provider for employees.</li> <li>• Complete an audit of employee listings used for the June and December gift check distributions.</li> <li>• Manage the coordination of programs that formally recognize employees for outstanding service.</li> <li>• Direct the coordination of the issuing of the employee newsletter.</li> </ul>

<u>Management/Morale</u> Priority Weight = 3	<u>Regulations</u> Priority Weight = 1	<u>Budget</u> Priority Weight = 2
<ul style="list-style-type: none"> <li>• Coordinate meetings of the Human Resource Committee of the Board of Trustees.</li> <li>• Recommend changes in policies, and programs, as they affect the morale, attitude and retention of employees.</li> <li>• Manages the maintenance of personnel records.</li> <li>• Coordinates the maintenance of the Human Resource Information System (ADP).</li> <li>• Review and recommend to President changes to the Employee Handbook.</li> <li>• Coordinates the hiring, promotion, demotion, discipline, and discharge of all employees within Waverly Heights' policy and procedure.</li> <li>• Reviews, and approves employee evaluations and step progressions for accuracy and consistency in a timely manner. Where appropriate recommends plan for development to be implemented by the employee's supervisor.</li> <li>• Directs the Environment of Care Committee.</li> <li>• Coordinates the annual Management Plan Meetings</li> <li>• Directs participation in biannual meeting of the Captive Insurance Group in compliance with the Shareholders responsibilities of all participating companies.</li> <li>• Review employee requests and process employee hardship withdrawals from the Profit Sharing Plan or loans from the TDA.</li> <li>• Evaluate and participates in the Risk Management Seminars held by the Captive Insurance Company.</li> <li>• Evaluates developments in the human resource, financial, and management fields that relate to job performance and integrates them into operating procedures.</li> <li>• Directs and negotiates with outside organizations when such organizations are making demands or claims affecting employees or their employment at Waverly Heights.</li> <li>• Manage employee bulletin boards for content.</li> <li>• Manages a resource library on labor relations' matters.</li> </ul>		

•Waverly-0093



### ***Qualifications and Competencies***

The Human Resource Director is a senior level management position charged with the responsibility for establishing, disseminating, and monitoring Human Resource policies and practices in support of business goals achievement.

The position incumbent is responsible for effective program management in all aspects of the function: staffing, training and development, compensation and reward systems, employee relations.

The position requires:

- o Broad working knowledge of all Human resource functions and related compliance issues as well as familiarity with the Waverly Heights organization. The knowledge requirement is equivalent to a Bachelor's degree in HRM or relevant field of study with 4-6 years of relevant experience. (EF)
- o Strong analytical and problem solving skills to assess operating situations and evaluate alternative courses of action. (EF)
- o Sound judgment in researching, developing, and recommending policies and procedures for Waverly. (EF)
- o Strong communication / interpersonal skills for daily interactions with executive staff, subordinates, peers and external constituencies. (EF)
- o Knowledge of accounting principles and budgets. (EF)
- o Manual dexterity adequate for the operation of a PC/Keyboard and use of a standard telephone. (EF)

(EF) Essential Function  
(NEF) Non - essential Function

Appendix 121

*[Signature]*  
Position Signature

Date

Supervisor Signature

Date

### **Definitions:**

***Coordinate:*** You communicate with variety of staff to achieve objective.

***Manage:*** You exercise supervisory direction over others to achieve objective.

***Direct:*** You regulate specific activities of others.

***Complete:*** You do the tasks necessary to achieve the objectives.

***Analyze:*** You determine the nature and relationship of the parts.

***Review:*** You examine critically.

***Evaluate:*** You determine the relative worth.

***Counsel:*** You advise especially seriously or formally.

***Maintain:*** You uphold, support, sustain.

***Adhere:*** You carry out a plan, scheme or operation without deviation.

***Recommend:*** You recommend one to another as being worthy or desirable, endorse.

***Establish:*** You introduce and put into force.



**SILVERCHAIR**  
Learning Systems  
310 East Main Street, Charlottesville, VA 22903  
(866) 689-0846

Nancy N. Wickham, RN, MS,  
Editorial Director  
Silverchair Learning Systems

*Nancy N. Wickham*

## **CERTIFICATE OF COMPLETION**

This certifies that

**KATHLEEN METZGER-JUNGCLAUS**

successfully completed the requirements for

*Embracing Diversity*

on Tuesday, November 08, 2011

### **Course description:**

An important part of a home's culture change process is embracing the diversity of its staff and residents and educating the staff in cultural competence. This course covers the changes that a home must make when it commits to embracing diversity as part of its culture change journey.

**This course is approved for continuing education credit by the following:**

This learning activity is approved by the National Council of Certified Dementia Practitioners®, for 1 contact hour(s) of continuing education.



**SILVERCHAIR**  
Learning Systems  
310 East Main Street, Charlottesville, VA 22903  
(866) 689-0846

**Nancy N. Wicklin, RN, MS,**  
Editorial Director,  
Silverchair Learning Systems

*Nancy N. Wicklin*

## **CERTIFICATE OF COMPLETION**

This certifies that

**KATHLEEN JUNGCLAUS**

successfully completed the requirements for

*Embracing Diversity*

on Wednesday, August 15, 2012

### **Course description:**

An important part of a home's culture change process is embracing the diversity of its staff and residents and educating the staff in cultural competence. This course covers the changes that a home must make when it commits to embracing diversity as part of its culture change journey.

### **This course is approved for continuing education credit by the following:**

This learning activity is approved by the National Council of Certified Dementia Practitioners®, for 1 contact hour(s) of continuing education.



## CERTIFICATE OF COMPLETION

This certifies that

**KATHLEEN JUNGCLAUS**

successfully completed the requirements for

**Preventing Sexual Harassment**

on Thursday, October 03, 2013

### Course description:

In long term care facilities, close interaction between staff, residents, and volunteers can create environments with a high risk for sexual harassment. This course provides guidelines for behavior and conduct, and helps employees distinguish between what is appropriate and inappropriate in their workplace.

**RELIAS LEARNING**

World of Essential Learning and Generalist Learning Systems  
107 Edinburgh Square, Suite 200, Cary, NC 27511  
Telephone: 8-010-653-1000





## CERTIFICATE OF COMPLETION

This certifies that

**KATHLEEN JUNGCLAUS**

successfully completed the requirements for

***Embracing Diversity***

on Wednesday, October 29, 2014

### Course description:

An important part of a home's culture change process is embracing the diversity of its staff and residents and educating the staff in cultural competence. This course covers the changes that a home must make when it commits to embracing diversity as part of its culture change journey.

**RELIAS | LEARNING**

State of Tennessee Licensed and Accredited Learning System

1000 Rutherford Road, Suite 200, Cary, NC 27513  
Telephone: 919.467.0000



## CERTIFICATE OF COMPLETION

This certifies that  
**KATHLEEN JUNGCLAUS**  
successfully completed the requirements for  
***Preventing Sexual Harassment***  
on Friday, October 31, 2014

### Course description:

In long term care facilities, close interaction between staff, residents, and volunteers can create environments with a high risk for sexual harassment. This course provides guidelines for behavior and conduct, and helps employees distinguish between what is appropriate and inappropriate in their workplace.

**RELIAS | LEARNING**  
Division of Silverchair Learning and Silverchair Learning Systems  
1401 Kellenburg Drive, Suite 200, Corp. NC 27062  
Tel: 800-444-4444





## CERTIFICATE OF COMPLETION

This certifies that

**KATHLEEN JUNGCLAUS**

successfully completed the requirements for

*Embracing Diversity*

on Friday, October 16, 2015

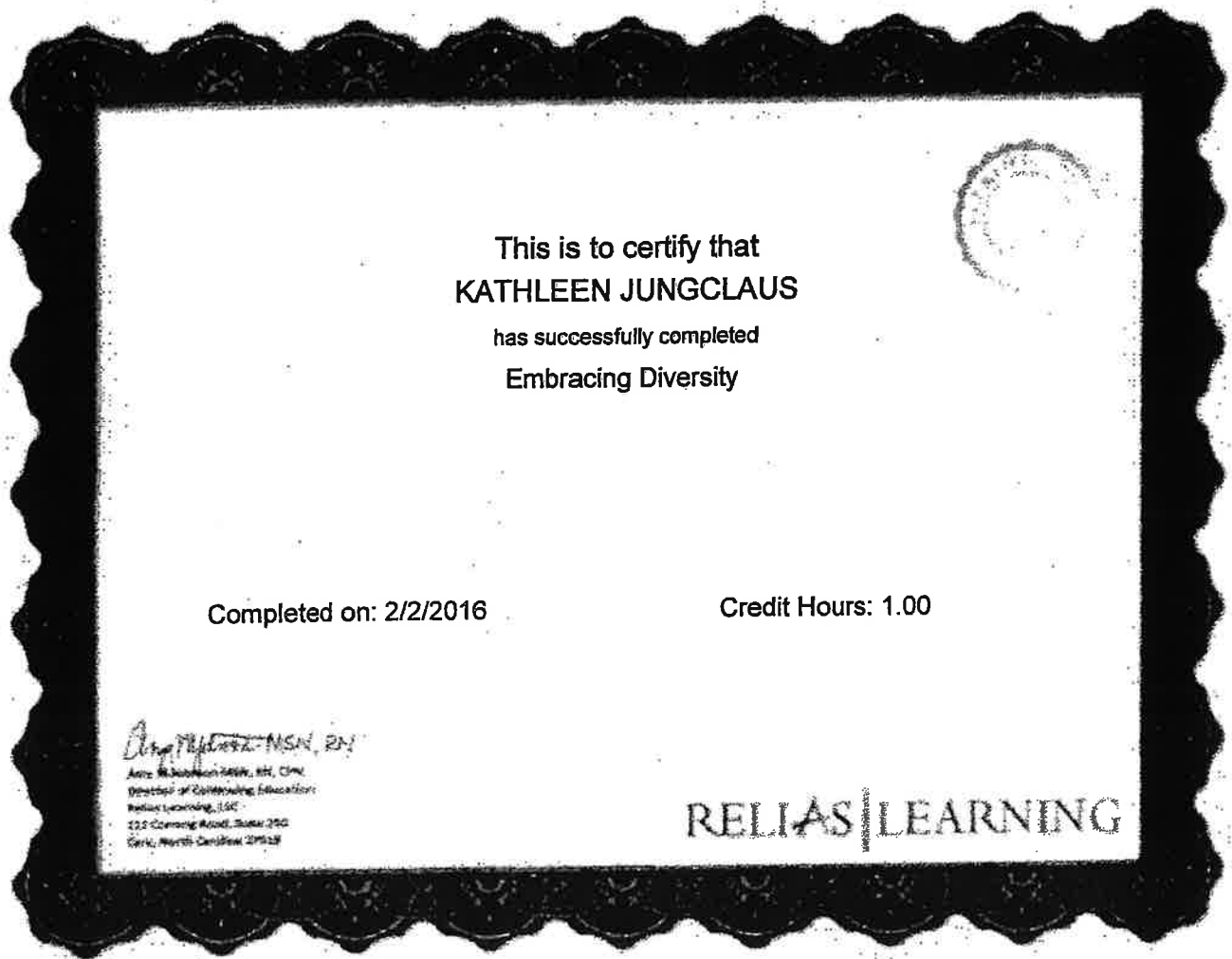
### Course description:

An important part of a home's culture change process is embracing the diversity of its staff and residents and educating the staff in cultural competence. This course covers the changes that a home must make when it commits to embracing diversity as part of its culture change journey.

**RELIAS | LEARNING**

Home of Essential Learning and Silverchair Learning Systems

10000 Silverchair Road, Suite 200, Silver Spring, MD 20910  
Telephone: 800.441.0000



Waverly-0490



## The Institute for Continuing Education and Research

Certifies that

*Kathleen Jungclaus*

Has Satisfactorily Participated in the Continuing Education Program

### *Introduction to Nursing Home Administration*

The 120-Hour NHA Course:

Role of Government

And is Hereby Awarded this Certificate of Completion  
**CEU 7.0**

*Ilene Warner*

Authorized Signature

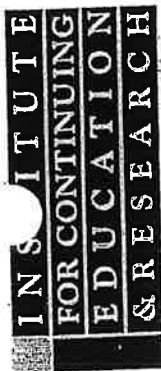
Ilene Warner-Maron, PhD NHA

PR-000441-L

Provider ID

Date

*9/17/13*



## The Institute for Continuing Education and Research

Certifies that

*Kathleen Jung Clark*

Has Satisfactorily Participated in the Continuing Education Program

### ***Introduction to Nursing Home Administration*** **The 120-Hour NHA Course:** **Dietary Management**

**And is Hereby Awarded this Certificate of Completion**  
**CEU 7.0**

*Ilene Warner-Marion*  
Authorized Signature  
Ilene Warner-Marion, PhD NHA

PR-000441-L

Provider ID

Date

*8/24/19*



Waverly-0488

## The Institute for Continuing Education and Research

Certifies that

*Kathleen Jungblut*

Has Satisfactorily Participated in the Continuing Education Program

### *Introduction to Nursing Home Administration* The 120-Hour NHA Course: Personnel Management and Unions

*And is Hereby Awarded this Certificate of Completion*  
**CEU 7.0**

*Ilene Warner-Maron*

Authorized Signature

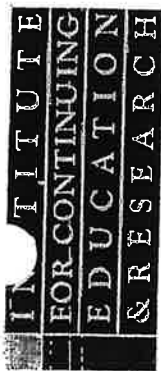
Ilene Warner-Maron, PhD NHA

PR-000441-L

Provider ID

Date

*1/26/13*



## The Institute for Continuing Education and Research

Certifies that

*Kathleen Jungclauss*

Has Satisfactorily Participated in the Continuing Education Program

**Administration and Federal Regulations Part I**

**On December 18, 2013**

**Approval # 14122014-7.25-7923-in**

*And is Hereby Awarded this Certificate of Completion*

Authorized Signature

Ilene Warner-Maron, PhD NHA

PR-000441-L

Provider ID

Date

12/18/13





## The Institute for Continuing Education and Research

Certifies that

*Carleen Gengclaw*

Has Satisfactorily Participated in the Continuing Education Program

### Administration and Federal Regulations Part II

On December 19, 2013

Approval # 03422014-7.25-7924-in

*And is Hereby Awarded this Certificate of Completion*

*Ilene Warner*

Authorized Signature

Ilene Warner-Maron, PhD NHA

Date

12/19/13

PR-000441-L

Provider ID



## The Institute for Continuing Education and Research

Certifies that

*Laureen Angelous*

Has Satisfactorily Participated in the Continuing Education Program

**PA Regulations and Administration**

**On December 17, 2013**

**Approval # 13122014-7.25-7957-in**

*And is Hereby Awarded this Certificate of Completion*

*Ilene Warner Maron*

Authorized Signature

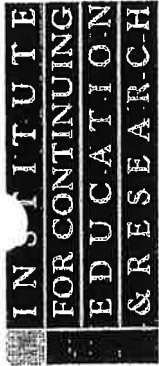
Ilene Warner-Maron, PhD NHA

Date

12/17/13

PR-000441-L

Provider ID



## The Institute for Continuing Education and Research

Certifies that

*Kathleen Jungers Clark*

Has Satisfactorily Participated in the Continuing Education Program

### *Introduction to Nursing Home Administration*

The 120-Hour NHA Course:

Health Support

*And is Hereby Awarded this Certificate of Completion*  
**CEU 7.0**

*[Signature]*

Authorized Signature

Ilene Warner-Maron, PhD NHA

PR-000441-L

Provider ID

Date

*1/10/14*



## The Institute for Continuing Education and Research

### Certifies that

Kathleen Jungclaus

Has Satisfactorily Participated in the Continuing Education Program

### *Introduction to Nursing Home Administration*

The 120-Hour NHA Course

Jan-May 2014

*And is Hereby Awarded this Certificate of Completion*

PR-000441-L

Provider ID

Authorized Signature

Ilene Warner-Maron, PhD NHA

Date

May 2, 2014

Waverly Heights, Ltd.

**Employee Performance Worksheet**

Employee Name/Title Kathy Metzger / Director of Human Resources Date of Hire 4-7-97

Supervisor/Title W. M. Maguire / President Date of Review 4-17-98

Department \_\_\_\_\_ Type of Review Annual  
(i.e. Probationary, Annual, etc.)

**General Instructions:** The Evaluation Worksheet is to be used for planning, monitoring and appraising employee performance. This worksheet is also used to identify employee strengths and needs and to process pay adjustments.

The quality of your discussions with employees about current performance and performance improvement is enhanced when specific, concrete, examples of performance and behavior are provided. The performance characteristics noted below may be useful for you to explain your appraisal of an employee's performance and your suggestions for improving performance.

**Performance Characteristics****Job Knowledge**

- (1) Does not understand aspects of the total job
- (2) Maintains satisfactory level of understanding or knowledge
- (3) Continually expands knowledge of job, including methods, interrelationships and effect.

**Initiative**

- (1) Shows no initiative
- (2) Recognizes opportunities but fails to act
- (3) Consistently identifies better ways to achieve high-quality results

**Responsibility/Diligence**

- (1) Cannot be relied upon to complete tasks
- (2) Accepts accountability and performs required work
- (3) "Grows the job", seeks additional responsibility

**Cooperation**

- (1) Is sometimes difficult to work with
- (2) Works well with others
- (3) Successfully builds sound relationships with co-workers

**Adaptability**

- (1) Does not adjust readily to changing needs and conditions
- (2) Adapts to change
- (3) Highly versatile contributor, seeks change as opportunity to do better

**Management (for supervisory employees only)**

- (1) Not in control; results by accident
- (2) Has a clear picture of functional/directional goals
- (3) Uses resources well to achieve goals

**Supervisory (for supervisory employees only)**

- (1) "Piece-meals" work to subordinates-gatekeeper
- (2) Facilitates employee growth through training/expanding assignments
- (3) Delegates appropriately to maximize employee productivity



## Instructions

**Contribution**  
Taken from Job Profile.

**Performance Measures**  
Taken from Job Profile.

**Evaluation**  
Written assessment of  
employee's performance over stated  
time period.

**Rating for each**

**Performance Measure**  
3 = Exceeds Expectations  
2 = Meets Expectations  
1 = Below Expectations

**Goals**  
Include goal  
statements for next  
time period.

Contribution Statement	Performance Measures	Evaluation	Goals
Chart direction for HRM Programs.	<p>Timeliness</p> <p>Not Acceptance of Plan</p> <p>Awareness</p> <p>Progress Against Plan</p>	<p>Kathy has appropriately identified with the direction in which H.R. programs should be directed. A plan still needs to be developed whereby all aspects of training will be addressed. This area of responsibility will improve as Kathy gains more experience</p> <p style="text-align: right;">Total Rating (Weight X Rating) <math>2 \times 2 = 4</math></p>	<p>Please (for all contributions) refer to 1998 Mgt Plan &amp; 1998 Long Range Plan</p>
<p>Mgt of Staffing, Compensation &amp; Benefits, Emp Training &amp; Development</p>	<p>Timeliness</p> <p>Program Costs Vs Budget</p> <p>Consistency of Administration</p>	<p>Kathy has done a very good job in attempting to implement controls via employed evaluations, over staffing costs; staff training has improved from the OSHA point of view. Cultural and Management Training requires Development in order to raise the overall quality of management.</p> <p style="text-align: right;">Total Rating (Weight X Rating) <math>3 \times 2 = 6</math></p>	<ul style="list-style-type: none"> <li>• Pursue recruitment of servers from Montgomery County</li> <li>• Develop a plan to implement a higher level of personnel interviewing for key hourly positions</li> <li>• Develop by 4/30 a "Plan" addressing steps to create a Comprehensive Training Program</li> </ul>

Waverly-0088



Contribution Statement	Performance Measures	Evaluation	Goals
Maintain effective Staff Relations	Staff's Awareness Timeliness Mgt effectiveness Staff Morale	Kathy has created a positive open atmosphere for the H.R. department.  <div>Total Rating (Weight X Rating) <math>3 \times 3 = 9</math></div>	
Regulatory Compliance	Timeliness Regret Violations	Kathy has done an excellent job in recognizing our needs regarding OSHA training. She has also done a very good job in the handling of worker compensation cases thru the use of these employees for light  <div>Total Rating (Weight X Rating) <math>2 \times 3 = 6</math></div>	
Robert, Mary, Develop mutual H.R. staff Waverly-0089	Competence of staff Staff Readiness Staff Morale	Kathy has developed a positive relationship with Mary Ann and they work very well together.  <div>Total Rating (Weight X Rating) <math>1 \times 3 = 3</math></div>	

<p><u>Strengths</u></p> <ul style="list-style-type: none"> <li>• Responsiveness</li> <li>• Positive Attitude</li> <li>• Ability to see the big picture</li> <li>• Not reluctant to address issues.</li> </ul>	<p><u>Developmental Needs</u></p> <ul style="list-style-type: none"> <li>• Gain a greater knowledge of the life care field.</li> <li>• Develop long range for HR Department</li> </ul>	<p>Overall Rating <math>\frac{28}{11} = 2.55</math> (Total of Ratings / Total of Weights)</p> <p><input checked="" type="checkbox"/> Exceeds Expectations  <input type="checkbox"/> Meets Expectations  <input type="checkbox"/> Below Expectations</p>
---	--	---

Evaluation Summary:

Kathy has done a very good job in her key position. She is professional and knowledgeable and has proven to be a positive member of the Management Team. Her performance level and value to Waborg will increase with more experience.

Employee Comments:

I appreciate the support and encouragement given to me from the Administration by Waborg. I look forward to the challenges of 1998 and would like you to assist to achieve the goals set for my department.

Kathy M. Maguire  
Employee Signature/Date 4/17/98

(Indicates awareness of contents only)

William M. Maguire  
Supervisor Signature/Date

Department Director Signature/Date

Kathleen M. Parker 4/17/98  
Director of Human Resources/Date

Salary Increase

Percentage Increase According to Increase GuideChart

$\frac{28}{11} = 2.55 = 4\%$

Percentage Increase Recommended by Supervisor

Rationale for Difference (if applicable)

Waverly-0090



Waverly Heights, Ltd.

**Employee Performance Worksheet**

Employee Name/Title Kathy Metogel / Director of Human Resources Date of Hire 4-7-97  
 Supervisor/Title W.M. Maguire / President Date of Review 5-24-99  
 Department \_\_\_\_\_ Type of Review Annual  
 (i.e. Probationary, Annual, etc.)

**General Instructions:** The Evaluation Worksheet is to be used for planning, monitoring and appraising employee performance. This worksheet is also used to identify employee strengths and needs and to process pay adjustments.

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- (3) Consistently identifies better ways to achieve high-quality results

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- (1) Cannot be relied upon to complete tasks
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- (1) "Piece-meals" work to subordinates-gatekeeper
- (2) Facilitates employee growth through training/expanding assignments
- (3) Delegates appropriately to maximize employee productivity

## Instructions

Rating for each

## Performance Measure

**clude goal**

**Include goal statements for next time period.**

### Priority Weight

**3 = Highest Priority**

**2 = Average Priority**

**1 = Low Priority**

## Contribution

**Taken from Job Profile.**

## Evaluation

### Written assessment of

employee's performance over stated time period.

## Performance Measures

**Taken from Job Profile.**

Contribution Statement	Performance Measures	Evaluation	Goals
Cost Reduction of HR Program	<p>Timeliness</p> <p>Mgt Acceptance of Plan</p> <p>Awareness</p> <p>Progress Against Plan</p>	<p>Kathy has gained a greater sense of the overall needs of the Waverly employees. Her sense of still needs to be incorporated into an overall plan</p> <p>Total Rating (Weight X Rating) <math>2 \times 2 = 4</math></p>	Refer to 1999 management plan for goals
<p>Mgt of Staffing, Compensation &amp; Development</p> <p>Mgt of Staffing, Compensation &amp; Development</p>	<p>Timeliness</p> <p>Program Costs Vs Budget</p> <p>Consistency of Activities</p>	<p>Kathy coordinated the change in the Blue Cross option for the employees which was a positive response to their request. Employee training has improved greatly i.e. management and safety.</p> <p>Total Rating (Weight X Rating) <math>3 \times 2 = 6</math></p>	Develop the Managers Manual



Contribution Statement	Performance Measures	Evaluation	Goals
Mountain Explorer Staff Relations	Staff's Awareness Timeliness Mgt. effectiveness Staff Morale	Kathy has continued to present the role of the H.R. Department in a positive manner. Morale however, need improvement in management training and the revision to compensation system. <div>Total Rating (Weight X Rating) <math>3 \times 3 = 9</math></div>	Revise Compensation System • Explain how system rewards length of service • Re-do properly evaluation forms
Regulatory Compliance	Timeliness Regret Violations	Kathy continues to properly incorporate OSHA requirements into Waverly's program of training. <div>Total Rating (Weight X Rating) <math>2 \times 3 = 6</math></div>	
Recruit, Train, and Motivate H.R. Staff	Competencies of staff Staff Readiness Staff Morale	Kathy and Mary Ann work well together and act as an effective team. <div>Total Rating (Weight X Rating) <math>1 \times 3 = 3</math></div>	Incorporate a third dept. employee who will function effectively as a team member

<p><u>Strengths</u></p> <ul style="list-style-type: none"> <li>• Positive Attitude</li> <li>• Frank recognition of issues</li> </ul>	<p><u>Developmental Needs</u></p> <ul style="list-style-type: none"> <li>• Continue to develop a long range plan for the HR department via operating manual and a manager's manual</li> <li>• Demonstrate a willingness to accept a leadership position on issues which require</li> </ul> <p>Overall Rating <math>28/11 = 2.55</math> (Total of Ratings / Total of Weights)</p> <p><input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Meets Expectations <input type="checkbox"/> Below Expectations</p>
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**Evaluation Summary:** Kathy has continued to function at a high level despite the issues inherent in the H. R. mission. The importance of her role will have a direct impact on how well Waverly operates. She has the ability to make a difference and raised the quality of our services. Her performance has been very good and is recognized as a valuable member of the management team.

**Employee Comments:** The HR Director at Waverly continues to be a challenge. It is my intention to initiate all of the changes that will improve management of employees and throughout Waverly in the next year. With my continued support I am focused on building the HR Dept. into a well respected Dept. at Waverly. I will continue to advocate for the voice of the employee through the Focus Group and the Safety Committee.

Employee Signature/Date  
*William M. Maguire* 5/26/19

(Indicates awareness of contents only)

Supervisor Signature/Date  
*William M. Maguire*

Salary Increase  
 Current Comp 96.11% E-9  
 Percentage Increase According to  
 Increase Guide Chart  
 $28/11 = 2.55 = 4\%$

Percentage Increase Recommended  
 by Supervisor

Rationale for Difference  
 (if applicable)

Department Director Signature/Date

*William M. Maguire* 5/26/19  
 Director of Human Resources/Date

Waverly-0086



Waverly Heights, Ltd.

## Employee Performance Worksheet

Employee Name/Title Arthur J. Kelly / Director of HRDate of Hire 4-9-97Date of Review 4-19-00Supervisor/Title W. M. Maguire / PresidentType of Review Annual

(i.e. Probationary, Annual, etc.)

Department \_\_\_\_\_

General Instructions: The Evaluation Worksheet is to be used for planning, monitoring and appraising employee performance. This worksheet is also used to identify employee strengths and needs and to process pay adjustments.

The quality of your discussions with employees about current performance and performance improvement is enhanced when specific, concrete, examples of performance and behavior are provided. The performance characteristics noted below may be useful for you to explain your appraisal of an employee's performance and your suggestions for improving performance.

## Performance Characteristics

## Job Knowledge

- (1) Does not understand aspects of the total job
- (2) Maintains satisfactory level of understanding or knowledge
- (3) Continually expands knowledge of job, including methods, interrelationships and effect.

## Initiative

- (1) Shows no initiative
- (2) Recognizes opportunities but fails to act
- (3) Consistently identifies better ways to achieve high-quality results

## Responsibility/Diligence

- (1) Cannot be relied upon to complete tasks
- (2) Accepts accountability and performs required work
- (3) "Grows the job"; seeks additional responsibility

## Cooperation

- (1) Is sometimes difficult to work with
- (2) Works well with others
- (3) Successfully builds sound relationships with co-workers

## Adaptability

- (1) Does not adjust readily to changing needs and conditions
- (2) Adapts to change
- (3) Highly versatile contributor; seeks change as opportunity to do better

## Management (for supervisory employees only)

- (1) Not in control; results by accident
- (2) Has a clear picture of functional/directional goals
- (3) Uses resources well to achieve goals

## Supervisory (for supervisory employees only)

- (1) "Piece-meals" work to subordinates-gatekeeper
- (2) Facilitates employee growth through training/expanding assignments
- (3) Delegates appropriately to maximize employee productivity

## Instructions

Contribution  
Taken from Job Profile.

Performance Measures  
Taken from Job Profile.

Evaluation  
Written assessment of  
employee's performance over stated  
time period.

Priority Weight  
3 = Highest Priority  
2 = Average Priority  
1 = Low Priority

Rating for each  
Performance Measure  
3 = Exceeds Expectations  
2 = Meets Expectations  
1 = Below Expectations

Goals  
Include goal  
statements for next  
time period.

Contribution Statement	Performance Measures	Evaluation	Goals
<p>Chart Discussion of A/R Program</p>	<p>Timeliness Mgt. Acceptance of Plan Associate Awareness Progress Against Plan</p>	<p>Kathy continues to gain a greater knowledge of the needs of Waverly employees &amp; managers. Overall recruiting and training programs need better definition and organization which Kathy can achieve</p> <p>Total Rating (Weight X Rating) <math>2 \times 2 = 4</math></p>	<p>See 2000 Departmental Management Team Goals. Plus items listed Below</p>
<p>Mgt of Staffing, Compensation Benefit, Employee Training</p>	<p>Timeliness Program Costs Vs Budget Consistency of Activities</p>	<p>Staffing in terms of quality employees appears to be improving in the Health Care Center. The changes in the compensation system (lower wages rates and 2000 % increases) are positive improvements. Comp system still needs to be clarified in regards of employees * Training programs organization presents a challenge due to OSHA and time availability</p> <p>Total Rating (Weight X Rating) <math>3 \times 2 = 6</math></p>	<p>* Employees need to know where do fit in my grade, when will I beat market and can I even be above market?</p>



Contribution Statement	Performance Measures	Evaluation	Goals
<p>Staff's Awareness</p> <p>Timeliness</p> <p>Mgr. Effectiveness</p> <p>Staff Morale</p>	<p>Staff Relations</p> <p>Staff Relations</p>	<p>Kathy has made a good effort in developing a positive image for the HR Department. This effort needs continued effort especially with the HRC Goals (99) the Compensation system were not met and continue to be implemented.</p> <p>OSHA training requirements are being met.</p> <p>Total Rating (Weight X Rating) 3 x 2 = 6</p>	<p>Reverse Compensation System - 1/2</p> <p>Explain how system towards length of service</p> <p>Re-do profiles &amp; evaluation forms</p>
<p>Regulatory Compliance</p>	<p>Timeliness</p> <p>Report Violations</p>	<p>Goal from '99 for 3rd member of dept was not met.</p> <p>Present situation with two vacancies presents a very good opportunity to get H.R. Dept on top of its role.</p> <p>Part of solution is the H.R. manual which outlines roles, provides performance measures and will all Kathy to properly supervise.</p> <p>Total Rating (Weight X Rating) 2 x 3 = 6</p>	<p>Recruit two new members of the dept.</p> <p>Reverse H.R. Manual</p> <p>2.9 of Need was recent request for turn over statistics.</p>
<p>Selected Bureau and H.R. Staff</p> <p>Waverly 0081</p>	<p>Competence of staff</p> <p>Staff Readiness</p> <p>Staff Morale</p>	<p>Total Rating (Weight X Rating) 1 x 3 = 3</p>	

Strengths  
• Positive Attitude  
• Objectivity in recognizing issues.

Developmental Needs  
• Assume more of a leadership role in events and programs orchestrated by the H.R. Department.  
• Needs to have more timely and ~~more~~ accurate documentation on projects e.g. S & S Meeting  
• Recognizing how position of H.R. Director is judged & act accordingly

Overall Rating  $\frac{65}{11} = 2.27$   
(Total of Ratings / Total of Weights)

- ☐ Exceeds Expectations
- ☒ Meets Expectations
- ☐ Below Expectations

Evaluation Summary: Kathy's role is difficult and she has done a good job. Especially when considering how issues/projects (R Venues/ Venues) can drain time and energy. Kathy does demonstrate that she has the ability to get on top of H.R. issues. It is very important that this be accomplished in order for Waverly to operate at the next level which will set it apart from the competition.

Employee Comments: I take my position as the H.R. Director very seriously. I have become aware of my "fish bowl" position through some difficult lessons. However, I include all events & training experiences, and I have focused - wisely - on my intention to continuously improve the work experience here at Waverly Heights, an employee at a time, and one goal at a time. I look forward to growth and change within my department through the upcoming months. I will make every attempt to achieve my developmental goals.

4-19-18 Spencer M. Maguire  
Employee Signature/Date  
(Indicates awareness of contents only)  
William M. Maguire 4/18/18  
Supervisor Signature/Date

Current Comp Salary Increase 97.06%  
Percentage Increase According to Increase GuideChart 4%  
Percentage Increase Recommended by Supervisor  
Rationale for Difference (if applicable)



Waverly Heights, Ltd.

**Employee Performance Worksheet**Employee Name/Title Kathy MetzgerDate of Hire 4-7-97Supervisor/Title W. M. MaguireDate of Review 4-17-01Department Human ResourcesType of Review Annual  
(i.e. Probationary, Annual, etc.)

**General Instructions:** The Evaluation Worksheet is to be used for planning, monitoring and appraising employee performance. This worksheet is also used to identify employee strengths and needs and to process pay adjustments.

The quality of your discussions with employees about current performance and performance improvement is enhanced when specific, concrete, examples of performance and behavior are provided. The performance characteristics noted below may be useful for you to explain your appraisal of an employee's performance and your suggestions for improving performance.

Appendix 149

**Performance Characteristics****Job Knowledge**

- (1) Does not understand aspects of the total job
- (2) Maintains satisfactory level of understanding or knowledge
- (3) Continually expands knowledge of job, including methods, interrelationships and effect.

**Initiative**

- (1) Shows no initiative
- (2) Recognizes opportunities but fails to act
- (3) Consistently identifies better ways to achieve high-quality results

**Responsibility/Diligence**

- (1) Cannot be relied upon to complete tasks
- (2) Accepts accountability and performs required work
- (3) "Grows the job", seeks additional responsibility

**Cooperation**

- (1) Is sometimes difficult to work with
- (2) Works well with others
- (3) Successfully builds sound relationships with co-workers

**Adaptability**

- (1) Does not adjust readily to changing needs and conditions
- (2) Adapts to change
- (3) Highly versatile contributor; seeks change as opportunity to do better

**Management (for supervisory employees only)**

- (1) Not in control; results by accident
- (2) Has a clear picture of functional/directional goals
- (3) Uses resources well to achieve goals

**Supervisory (for supervisory employees only)**

- (1) "Piece-meals" work to subordinates-gatekeeper
- (2) Facilitates employee growth through training/expanding assignments
- (3) Delegates appropriately to maximize employee productivity

Waverly-0075

# Instructions

Contribution Taken from Job Profile.	Performance Measures Taken from Job Profile.	Evaluation Written assessment of employee's performance over stated time period.	Priority Weight 3 = Highest Priority 2 = Average Priority 1 = Low Priority	Rating for each Performance Measure 3 = Exceeds Expectations 2 = Meets Expectations 1 = Below Expectations	Goals Include goal statements for next time period.
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Contribution Statement	Performance Measures	Evaluation	Goals
Mgt + Morale	Below Expectations • Revising H.R. Manual	Meets Expectations • Successfully implemented ADP system	See 2001 Departmental Management Team Goals  Complete revision to job-profiles for the HRC
		Exceeds Expectations Follow up on recent staff survey on attitudes i.e. establishing survey day  Total Rating (Weight X Rating) $3 \times 2 = 6$	
Regulations	Dept of Welfare Noted a deficiency in their last survey	Successfully developed new policy on drug testing of the drivers	
		Total Rating (Weight X Rating) $1 \times 2 = 2$	



Contribution Statement	Performance Measures	Evaluation	Goals
Budget	Below Expectations Advertising Costs	meets Expectations Effort made in controlling unemployment costs.	Continue to closely monitor total service cost for the HCC
		<div>Total Rating (Weight X Rating) <math>2 \times 2 = 4</math></div>	
Training	Revise guide to compensation manual and describe employee's wage rate movement within a grade e.g. on avg - how long to get to Mkt and why one exceeds Mkt		
		<div>Total Rating (Weight X Rating) <math>2 \times 2 = 4</math></div>	
Employee Relations		Has demonstrated a real concern for helping employees	
		<div>Total Rating (Weight X Rating) <math>3 \times 2 = 6</math></div>	
		Kathy does a very good job at handling employee functions	
		<div>Total Rating (Weight X Rating) <math>3 \times 2 = 6</math></div>	

Waverly-0077

<p><u>Strengths</u></p> <ul style="list-style-type: none"> <li>• Positive Attitude</li> <li>• Responding to employee concerns</li> </ul>	<p><u>Developmental Needs</u></p> <ul style="list-style-type: none"> <li>• Continue to pursue HR responsibilities in a timely manner and with limited oversight</li> <li>• A better understanding of how to calculate the budget impact of staffing changes</li> </ul>	<p>Overall Rating <math>\frac{22}{11} = 2.08</math></p> <p>(Total of Ratings / Total of Weights)</p> <p><input type="checkbox"/> Exceeds Expectations</p> <p><input checked="" type="checkbox"/> Meets Expectations</p> <p><input type="checkbox"/> Below Expectations</p>
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Evaluation Summary: *Kathy's position is critical to the success of Waverly. She has recently demonstrated the ability and dedication which can make her and Waverly's success.*

Employee Comments:

Employee Signature/Date  
(Indicates awareness of contents only)

*William M. McGuire* 4/17/01  
Supervisor Signature/Date

Department Director Signature/Date

*Kathy McGuire* 4/17/01  
Director of Human Resources/Date

E-9 : Salary Increase CR = 98

Percentage Increase According to Increase GuideChart

4 of 8

Percentage Increase Recommended by Supervisor

Rationale for Difference (if applicable)

Kathy Matyja  
Management / Morale W=1

5-2-02

- Kathy does a good job with individual employee problems and advising managers on the appropriate course of action.
- Areas of improvement are the development of operating systems for the H.R. department, i.e. the department's operations manual. This manual, which has been started, will define content and timing of reports e.g. turnover report, staff changes report etc.
- Greater care is needed in the review of standard reports and ad hoc reports e.g. length of service report
- Kathy needs to improve on her follow-up on requests for information and changes in staffing.

Regulations W=2

- Records are maintained in an appropriate manner as indicated by DOH surveys

Budget W=3

- All line items are within budget with the exception of worker comp. insurance which is higher than budget due to Captive insurance company approved by the board.
- Kathy did a very good job in helping to control the staffing cost in the H.C. Survey 2001.

Waverly-0070



Training W=1

- The initiation of the monthly mandatory training is a positive step. It's content and presentation must be improved upon by July.
- Mandatory training requirements have impacted our ability to provide Management Training e.g. Revised Supervision Skills to the Compensation System.

Waverly-0071

Benefits + Compensation W=2

- Benefit programs are properly administered
- Compensation system regarding the setting of starting salaries, evaluation forms and job descriptions needs to be revised.

Waverly-0072

Employee Relationships W=3

\* The special events handled by Kathy are one of her strengths. She enjoys the particulars involved and demonstrates a good desire to properly recognize employees.

\* The new employee name tag project was successfully completed.

Waverly-0073



## Summary

### Strengths

- Knowledge of Waverly staff
- Handling employee conflicts
- Willingness to take on special projects.
- Handling of Worker Comp Ins. and Unemployment cases

### Areas To Improve

- Developing systems for the inner workings of the H.R. Department and items requiring her direct follow up.

Kathy does a good job as the Director of H.R. She is a team player who has developed a good working relationship with her peers. Her greater attention to detail and refinement of operating procedures will help her professionally and increase her value to Waverly Heights.

Waverly-0074

**EMPLOYEE PERFORMANCE WORKSHEET**

Waverly-0066

Employee Name Kathleen Corisio Title Director of H.R. Date of Hire 4-7-97

Supervisor William Maguire Title President Date of Review 1-24-03

Department Human Resources Type of Review: Annual (Annual, Probationary, etc)

**GENERAL INSTRUCTIONS:** The Evaluation Worksheet is to be used for planning, monitoring and appraising employee performance. This worksheet is also used to identify employee strengths and needs based on their job profile, and to process pay adjustments.

The quality of your discussions with employees about current performance and performance improvement is enhanced when specific, concrete examples of performance and behavior are provided. The performance characteristics noted below may be useful to you to explain your appraisal of an employee's performance and your suggestions for improving performance.

*The appraisal worksheet should be completed then given to the employee to review before a formal meeting to discuss the contents is scheduled.*

**PERFORMANCE CHARACTERISTICS****Job Knowledge**

- (1) Does not understand aspects of the total job
- (2) Maintains satisfactory level of understanding or knowledge
- (3) Continually expands knowledge of job, including methods, interrelationships and effect

**Cooperation**

- (1) Is sometimes difficult to work with
- (2) Works well with others
- (3) Successfully builds sound relationships with co-workers

**Initiative**

- (1) Shows no initiative
- (2) Recognizes opportunities but fails to act
- (3) Consistently identifies better ways to achieve high quality Results

**Adaptability**

- (1) Does not adjust readily to changing needs and conditions
- (2) Adapts to change
- (3) Highly versatile contributor; seeks change as opportunity to do better

**Responsibility/Diligence**

- (1) Cannot be relied upon to complete tasks
- (2) Accepts accountability and performs required work
- (3) "Grows the job"; seeks additional responsibility

**Management (for supervisory employees only)**

- (1) Not in control; results by accident
- (2) Has a clear picture of functional/directional goals
- (3) Uses resources well to achieve goals

**Supervisory (for supervisory employees only)**

- (1) "Piece-meals" work to subordinates-gatekeeper
- (2) Facilitates employee growth through training/expanding assignments
- (3) Delegates appropriately to maximize employee productivity

Waverly-0067

**INSTRUCTIONS**

Contribution: Taken from Job Profile

Performance

Measures: Taken from Job Profile

Evaluation: Written assessment of employee's performance over state time period

Priority Weight  
 3 = Highest Priority  
 2 = Average Priority  
 1 = Low Priority

Rating for each  
 Performance Measure  
 3 = Exceeds Expectations  
 2 = Meets Expectations  
 1 = Below Expectations

Goals Include Goals  
 Statements for next time  
 period

Management Area	Evaluation	Goals
Management Morale	<p>Overall Kathy does a good job in her Management of the H.R. Department and the morale of Lori &amp; Trish. Kathy also works well with the other Department directors. The performance in this area can be improved with the completion of Objectives # 1, 2, 4, 10 for 2003.</p> <p>Kathy also works well with the Board's H. R. Committee</p> <p>Total Rating (Weight X Rating) 3 X 2 = 6</p>	See 2003 Management Plan
Regulation	<p>Kathy has done a good job in handling DOT surveys.</p> <p>H.R. Records are well maintained.</p> <p>Total Rating (Weight X Rating) 3 X 2 = 6</p>	



Contribution Statement	Evaluation	Goals
Budget	<p>Kathy does a good job in managing the HR Dept's budget</p> <p>Total Rating (Weight X Rating) <math>2 \times 3 = 6</math></p>	
Training	<p>The new employee orientation and the annual orientation are good. Her contribution to the annual management plan meeting is also good.</p> <p>Total Rating (Weight X Rating) <math>3 \times 2 = 6</math></p>	<p>Note: The Summary of Internal Reporting Requirements should include the number of new hires and employees who participated in training according to our established Categories - Orientation, management, cultural, safety &amp; technical.</p>
Employee Relations	<p>Kathy does a very good job at handling employee grievances and in the various employee recognition events. These are Kathy's strongest areas. The employee newsletter's content and format could be improved.</p> <p>Total Rating (Weight X Rating) <math>2 \times 3 = 6</math></p>	

Waverly-0069

<p><b>Strengths</b></p> <ul style="list-style-type: none"> <li>• Handling employee issue</li> <li>• Coordinating employee recognition</li> <li>• Responsiveness to crisis situations</li> </ul>	<p><b>Evaluation Summary:</b></p> <p>Kathy continue to do a good job. She handles issues relative to employee relations in an outstanding manner. She also reacts well to emergency problems. Her overall goal is to spend less time on employee issues and more on staff training.</p>
<p><b>Developmental Needs</b></p> <p>Continued development of procedure for H.R. Department.</p>	<p><b>Employee Comments:</b></p>
<p>Overall Rating = <math>\frac{26}{11} = 2.36</math></p> <p>Total of Ratings / Total of Weights</p> <p>Exceeds Expectation <input checked="" type="checkbox"/></p> <p>Meets Expectations <input checked="" type="checkbox"/></p> <p>Below Expectations <input type="checkbox"/></p>	<p><b>Salary Increase</b></p> <p>Pay Grade <u>E-10 CR 99</u></p> <p>Percentage Increase According to Increase Guide Chart <u>4%</u></p> <p>Percentage Increase Recommended by Supervisor <u>2.85%</u></p> <p>Rational for Difference</p> <p>Effective with 1st Pay in 2003.</p> <p>Kathy will be reviewed on a calendar year basis in order to coordinate the HR Committee's overview of her performance.</p>
<p>Employee Signature / Date (Indicates awareness of contents only)</p> <p>Supervisor Signature / Date <u>William M. Maguire</u> <u>1/27/03</u></p> <p>Department Director Signature / Date</p> <p>Director of Human Resources / Date</p>	



**EMPLOYEE PERFORMANCE WORKSHEET**

Employee Name Kathleen Borisow Title Director of H.R. Date of Hire 4-7-97

Supervisor W. Maguire Title President Date of Review 1-24-04

Department \_\_\_\_\_ Type of Review Annual (Annual, Probationary, etc)

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*The appraisal worksheet should be completed then given to the employee to review before a formal meeting to discuss the contents is scheduled.*

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- (1) Does not understand aspects of the total job
- (2) Maintains satisfactory level of understanding or knowledge
- (3) Continually expands knowledge of job, including methods, interrelationships and effect

**Cooperation**

- (1) Is sometimes difficult to work with
- (2) Works well with others
- (3) Successfully builds sound relationships with co-workers

**Initiative**

- (1) Shows no initiative
- (2) Recognizes opportunities but fails to act
- (3) Consistently identifies better ways to achieve high quality Results

**Adaptability**

- (1) Does not adjust readily to changing needs and conditions
- (2) Adapts to change
- (3) Highly versatile contributor; seeks change as opportunity to do better

**Responsibility/Diligence**

- (1) Cannot be relied upon to complete tasks
- (2) Accepts accountability and performs required work
- (3) "Grows the job"; seeks additional responsibility

**Management (for supervisory employees only)**

- (1) Not in control; results by accident
- (2) Has a clear picture of functional/directional goals
- (3) Uses resources well to achieve goals

**Supervisory (for supervisory employees only)**

- (1) "Piece-meals" work to subordinates-gatekeeper
- (2) Facilitates employee growth through training/expanding assignments
- (3) Delegates appropriately to maximize employee productivity

INSTRUCTIONS

Contribution: Taken from Job Profile  
 Evaluation: Written assessment of employee's  
 performance over state time period

**Priority Weight**

- 3 = Highest Priority  
 2 = Average Priority  
 1 = Low Priority

**Rating for each Performance Measure**

- 3 = Performs Majority of job Responsibilities Well  
 2 = Performs Certain Job Responsibilities Well  
 1 = Performance Probation

**Goals / Areas of Development**

Include Goal Statements for  
 Next Review Period.

Contribution Statement	Evaluation	Goals / Areas of Development
<p>Management</p> <p>Morale</p>	<p>Kathy does a good job in her overall management of the H.R. department. She inter-acts appropriately with the dept. directors but needs to be careful in not completing their responsibilities. Kathy is also successful in her inter-action with the Board's H.R. Committee</p> <p>Total Rating (Weight X Rating)  <math>3 \times 2 = 6</math></p>	<p>2004 Mgt Team.          Goals &amp; Objectives          Note: Goals #1, #2 &amp; #4 from 2003 were not fully achieved. With their full completion in 2004 a stronger H.R. system will be in place for the management team</p>
<p>Regulations</p>	<p>H.R. records are appropriately maintained for Pa State Surveys (DOH + DPW)</p> <p>Total Rating (Weight X Rating)  <math>1 \times 2 = 2</math></p>	

Waverly-0063

Contribution Statement	Evaluation	Goals / Areas of Development
Budget	<p>The H. R. Budget is well managed with both workers Comp. and unemployment receiving good attention.</p> <p>Total Rating (Weight X Rating) <math>2 \times 3 = 6</math></p>	<p>Note: Please contact WWM prior to calling attorneys for advice.</p>
Training	<p>Coordination of the Annual Mgt Team Meeting is very good and the new employee orientation and Annual Training sessions appear effective. In addition to those training was also provided for H / P A and Corp Compliance</p> <p>Total Rating (Weight X Rating) <math>3 \times 3 = 9</math></p>	<p>Note: 2003 Goal to report on extent of training as part of H-R's Annual Statistical Report was successfully completed.</p>
Employee Relations	<p>Kathy continues to do a good job in addressing individual employee issues. She also does a good job with the special events for employees. Her effectiveness i.e. extent of time will be improved as managers are trained in the areas of the hiring process + conflict resolution</p> <p>Total Rating (Weight X Rating) <math>2 \times 3 = 6</math></p>	

waverly-0064



<p><u>Strengths</u></p> <ul style="list-style-type: none"> <li>• Handling individual employee issues</li> <li>• Coordinating employee discipline</li> </ul>	<p><b>Evaluation Summary:</b></p> <p>Kathy does a good job in her handling of the broad H.R. responsibilities, she improved her performance in 2003 through a more concerted effort to complete her objectives. She has also demonstrated a higher willingness to help in the directors meetings, her overall goal continue to be spend less time on employee issues and more on employee training.</p>
<p><u>Developmental Needs</u></p> <ul style="list-style-type: none"> <li>• Establishing effective written procedures which will be the basis of employee training</li> </ul>	<p><b>Employee Comments:</b></p>
	<p><b>Employee Signature / Date</b> (indicates awareness of contents only)</p> <p><i>William M. Maguire</i> 1/25/04 Supervisor Signature / Date</p> <p><b>Department Director Signature / Date</b></p> <p><i>Dan Allen Spruill</i> 1-27-04 Director of Human Resources / Date</p> <p><b>Salary Increase</b> CR = 98 <math>\frac{29}{11} = 2.6</math></p> <p><b>Percentage Increase According to Increase Guide Chart</b> 3.75%</p> <p><b>Percentage Increase Recommended by Supervisor</b></p> <p><b>Rational for Difference</b></p>

Waverly-0065

## WAVERLY HEIGHTS

## DIRECTORS' EVALUATION FORM

The purpose of the self-evaluation form is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, and suggest areas for improvement.

Director's Name: Kathy Borissio Title: Director of H.R.  
 Evaluation Period 2-4-05 to 1-30-06

Extremely Effective: Value = 3

Performance that is extremely effective in fulfilling the "Key Activities" for your position. Performance results in extraordinary achievements, with significant contributions to the objectives of Waverly Heights.

Effective: Value = 2

Performance that is effective in fulfilling the "Key Activities" for your position. This level of performance is expected by Waverly Heights.

Moderately Effective: Value = 1

Performance that was less than effective in fulfilling the "Key Activities" for your position. These activities are those for which you believe your performance can be improved.

## I. Job Profile Contributions:

Rating: 2.6

## II. Management Plan: Goals / Objectives:

Rating: 2.5

## III. Additional Goals on Last Evaluation:

- Communication with President
- Attention to Details
- Customer Service Task Force

Rating: 2.5

## IV. Other Accomplishments:

H.R. Training - Hiring Manual

Rating: 2.5

## V. Qualifications and Competencies:

Rating: 2.5

## EVALUATION SUMMARY:

*Kathy has made an excellent effort to improve her performance in 2005. Her goal in 2006 is to perform in the way she is capable of on a consistent basis*

Rating: 2.6

Current Pay: 76,051.00 Market Value: 76,314.00 C/R: 100

% Increase: 3.75 = \$2,852

Effective: 12-25-05

*Plus a Grade Adj from E10 to E11. From \$78,903 to 83,374 (95% of E11 Wkt)*

William M. Maguire  
 President

1-30-06  
 Date

WMM/mph: Chrono File, 2/13/2006

*Total Annual Adj = \$7,323 (\$2,852 + \$4,471)*

Appendix 166

Waverly-0058



Rec'd 12-29-05  
Kathy**WAVERLY HEIGHTS****DIRECTORS' SELF-EVALUATION FORM**

The purpose of the self-evaluation form is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, and suggest areas for improvement.

Director's Name: Kathy BorisowTitle: Director, Human ResourcesEvaluation Period: 1/1/05 to 1/1/06**Instructions****I. Rating your Expected Contributions:**

Please evaluate your performance for each of the "Expected Contributions" found on your job profile, which is attached. Review each of the "key activities" found under the contribution category and list those activities for which you believe you have been extremely effective and those activities where you feel a better effort could have been made. It will be assumed that those key activities not listed are ones you have managed in an effective manner.

In effect, you will be giving each of your key activities one of these ratings:

Extremely Effective	(Value = 3)	Repeat definitions
Effective	(Value = 2)	Repeat definitions
Moderately Effective	(Value = 1)	Repeat definitions

Expected Contribution: Management/ Morale Priority Weight: 3  
Self-Rating: 2.5

Extremely Effective Key Activities	Moderately Effective Key Activities
Counsel staff on developmental needs	Manage my department staff
Manage hiring ,promotion ,demotion, discipline and discharge of all employees.	
Review and approve evaluations timely and recommend plans for development.	

Expected Contribution: Gov/Accred Regs. Priority Weight: 1  
Self-Rating: 2

Extremely Effective Key Activities	Moderately Effective Key Activities
Employee files prepared for State survey	Oversight of the Safety Committee
Circumstances affecting wage& hr; unemploy.	

Waverly-0059

**Expected**  
**Contribution: Budget**

**Priority**  
**Weight: 2**  
**Self-Rating: 2.5**

<u>Extremely Effective Key Activities</u>	<u>Moderately Effective Key Activities</u>
Controlling Worker's Compensation Costs	
Benefit Renewal options and recommendations	

**Expected**  
**Contribution: Training**

**Priority**  
**Weight: 3**  
**Self-Rating: 2**

<u>Extremely Effective Key Activities</u>	<u>Moderately Effective Key Activities</u>
Manage Annual Mandatory Training	

**Expected**  
**Contribution: Employee Relations**

**Priority**  
**Weight: 2**  
**Self-Rating: 2.75**

<u>Extremely Effective Key Activities</u>	<u>Moderately Effective Key Activities</u>
Resolve employee grievances	

**Expected**  
**Contribution: [Click, type contribution]**

**Priority**  
**Weight: [Click, type weight]**  
**Self-Rating: [Click, type rating]**

<u>Extremely Effective Key Activities</u>	<u>Moderately Effective Key Activities</u>

Waverly-0060

**II. Goals / Objectives:**

List your goals found on your last evaluation and state their current status. *Note: It is not necessary to list the objectives found in the Management Plan. Your report on these due in mid-December will be considered part of this evaluation.*

**Goals / Objectives:**

- Improve communication with the President regarding Management team changes and employee issues. Take a more pro-active approach. *Though this is a subjective goal to the president I believe the goal was met.*
- Focus on details: Processing of Profit Sharing and TDA deposits, P & P handbook, Tom Wozniac's letter to HR Committee. *Though this is a subjective goal to the president I believe the goal was met.*
- Co-ordinate long range plan for Customer Service. *Complete*

**III. Other Standards:**

**Quality of Work** – ability to provide neat, accurate, and thorough quality work; accuracy and attention to detail; commitment to quality standards; making continuous improvements; monitoring quality levels; develops and implements effective solutions.

**Working Relationships**- responding to internal and external customers; working on team projects; exchanging ideas and opinions; conflict resolution and working with others; flexibility and open mindedness; promoting mutual respect; networking and building relationships; ensuring and providing customer satisfaction; meeting commitments to other directors and employees; Effectively represents employees on issues, making sure that the voice of the employee is heard and recognized.

**Initiative/ Innovation**- tackling problems; taking independent action; seeking out new responsibilities; recognizing and acting on opportunities; generating new ideas; self development; creative problem solving; adapting to change.

**Communication**- verbal and written communication; producing accurate and punctual reports; delivering presentations; sharing information with others; listening skills.

**Self-Rating: 2.6**

**IV. Overall Rating:**

Based on your individual ratings for each of your *Expected Contributions* and the success in achieving your goals and Management Plan objectives, state your overall rating:

**Overall Rating: ~~2.7~~ 2.61**

Please list any comments you feel will be helpful in the review of this self-evaluation.

**Comments:** [Click, type comments]

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

## WAVERLY HEIGHTS

## DIRECTORS' EVALUATION FORM

The purpose of the self-evaluation form is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, and suggest areas for improvement.

Director's Name: Kathy Metzger Title: Director - H.R.  
 Evaluation Period 1-30-06 to 12-27-06

Extremely Effective: Value = 3 Performance that is extremely effective in fulfilling the "Key Activities" for your position. Performance results in extraordinary achievements, with significant contributions to the objectives of Waverly Heights.

Effective: Value = 2 Performance that is effective in fulfilling the "Key Activities" for your position. This level of performance is expected by Waverly Heights.

Moderately Effective: Value = 1 Performance that was less than effective in fulfilling the "Key Activities" for your position. These activities are those for which you believe your performance can be improved.

## I. Job Profile Contributions:

Rating: 2.7

## II. Management Plan: Goals / Objectives:

*Employee Relations & Coaching - High priority in 2007*

Rating: 2.6

## III. Additional Goals on Last Evaluation:

- *Communication with President*
- *Attention to Details*
- *Customer Service Task force*

Rating: 2.5

## IV. Other Accomplishments:

*Expanded Role for Frank Beech*

Rating: 2.9

## V. Qualifications and Competencies:

Rating: 2.5

## EVALUATION SUMMARY and Goals

*Kathy's performance continued to improve in 2006 and she proving to be a valuable resource for the WHH Team.*

*In 2007 she needs to continue to pay attention to details and to further develop the skills of Dagmar & Trish*

Rating: 2.7Current Pay: \$83,374.00Market Value: 90,392C/R: 92% Increase: 4.00%Effective: 12-24-06 (1st pay paid in 2007)

William M. Maguire  
 President

1-2-07  
 Date

WMM/rph: Chrono File, 12/27/2006

Waverly-0056



## WAVERLY HEIGHTS

## DIRECTORS' EVALUATION FORM

The purpose of the self-evaluation form is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, and suggest areas for improvement.

Director's Name: Kathy Metzger Title: Director - H.R.  
 Evaluation Period: 1-30-06 to 12-27-06

Extremely Effective: Value = 3 Performance that is extremely effective in fulfilling the "Key Activities" for your position. Performance results in extraordinary achievements, with significant contributions to the objectives of Waverly Heights.

Effective: Value = 2 Performance that is effective in fulfilling the "Key Activities" for your position. This level of performance is expected by Waverly Heights.

Moderately Effective: Value = 1 Performance that was less than effective in fulfilling the "Key Activities" for your position. These activities are those for which you believe your performance can be improved.

## I. Job Profile Contributions:

Rating: 2.7

## II. Management Plan: Goals / Objectives:

Employee Relations & Coaching - High priority in 2007

Rating: 2.6

## III. Additional Goals on Last Evaluation:

- Communication with President
- Attention to Detail
- Customer Service Task force

Rating: 2.5

## IV. Other Accomplishments:

Expanded Role for Frank Beech

Rating: 2.9

## V. Qualifications and Competencies:

Rating: 2.5

## EVALUATION SUMMARY and Goals

Kathy's performance continued to improve in 2006 and she proved to be a valuable resource for the WHH Mt Team.

In 2007 she needs to continue to pay attention to details and to further develop the skills of Degmar & Trish

Rating: 2.7Current Pay: \$83,374.00Market Value: 90,392C/R: 92% Increase: 4.00%Effective: 12-24-06 (1st pay paid in 2007)

William M. Maguire  
 President

1-2-07  
 Date

Waverly-0057

WMM/npf:Chroto File 12/27/2006

Kathy Metzger 1/4/07 Appendix 171



## WAVERLY HEIGHTS

## DIRECTORS' EVALUATION FORM

The purpose of the self-evaluation form is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, and suggest areas for improvement.

Director's Name: Kathy Metzger Title: Director - Human Resources  
 Evaluation Period 12-28-06 to 1-4-08

Extremely Effective: Value = 3

Performance that is extremely effective in fulfilling the "Key Activities" for your position. Performance results in extraordinary achievements, with significant contributions to the objectives of Waverly Heights.

Effective: Value = 2

Performance that is effective in fulfilling the "Key Activities" for your position. This level of performance is expected by Waverly Heights.

Moderately Effective: Value = 1

Performance that was less than effective in fulfilling the "Key Activities" for your position. These activities are those for which you believe your performance can be improved.

I. Job Profile Contributions: Self = 2.79

Rating: 2.60

II. Management Plan: Goals / Objectives:

Rating: 2.5

III. Additional Areas of Focus on Last Evaluation:

Rating: 2.4

IV. Other Accomplishments:

Rating: 2.7

V. Qualifications and Competencies:

Rating: 2.6

AREAS OF FOCUS IN 2008:

Focus on all levels of Training

EVALUATION SUMMARY:

Rating: 2.6

Kathy has performed very well in 2007. Despite being under-staffed, she has met the majority of her goals/objectives. She has improved with her attention to details but still needs to continue to improve. over

Current Pay: 86,709

Market Value: 92,380 C/R: 94

% Increase: 4.20

Effective: 12-23-07 (Start of 1st Pay Period for 2008)

William M. Maguire  
 President

1-14-08  
 Date

DIRECTOR'S COMMENTS:

Kathy Metzger  
 Director

1/14/08  
 Date

# *Kathy* 2007 **WAVERLY HEIGHTS DIRECTORS' SELF-EVALUATION FORM**

The purpose of the self-evaluation form is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, and suggest areas for improvement.

Kathleen Metzger  
Director's Name

Director, Human Resources  
Title

Evaluation Period: 12/31/06 to 12/31/07

## **Instructions**

### **I. Rating your Expected Contributions:**

Please evaluate your performance for each of the "Expected Contributions" found on your job profile, which is attached. Review each of the "key activities" found under the contribution category and list those activities for which you believe you have been extremely effective and those activities where you feel a better effort could have been made. It will be assumed that those key activities not listed by you are ones you have managed in an effective manner.

In effect, you will be giving each of your key activities one of these ratings:

- Extremely Effective:** Value = 3 Performance that is extremely effective in fulfilling the "Key Activities" for your position. Performance results in extraordinary achievements, with significant contributions to the objectives of Waverly Heights.
- Effective:** Value = 2 Performance that is effective in fulfilling the "Key Activities" for your position. This level of performance is expected by Waverly Heights.
- Moderately Effective:** Value = 1 Performance that was less than effective in fulfilling the "Key Activities" for your position. These activities are those for which you believe your performance can be improved either through your efforts or changes in conditions beyond your control.

**Priority Weight:** Re-state the number (1, 2 or 3) as shown on your job profile.

**Self-Rating:** State one of the following numbers—2.0, 2.25, 2.5, 2.75, 3.00. This is your numerical rating for the stated "Expected Contribution."

**Expected Contribution:** Management / Morale **Priority Weight:** 3 **Self-Rating:** 2.75 = 8.25

*3x2.75 = 8.25  
wm*

#### **Extremely Effective Key Activities**

Effectively Manage Dept. staff  
(Dagmar & Jacque)

#### **Moderately Effective Key Activities**

*Over Oversight of  
Benefit Bills wm*

Review and establish job  
responsibilities (job profiles)

Review and approve evaluations  
timely

#### **Expected**

**Contribution:** Gov./ Accred.

#### **Priority**

**Weight:** 1

**Self-Rating:** 2.8 = 2.8

#### **Extremely Effective Key Activities**

Employee files prepared for State  
survey

#### **Moderately Effective Key Activities**

Safety Committee

Waverly-0053

Employee Relations Commission (3 claims)	
Worker's Compensation management resulted in return for 2007 of \$209,344.00	

**Expected Contribution:** Benefits **Priority Weight:** 2 **Self-Rating:** 2.75 = 5.5

<u>Extremely Effective Key Activities</u>	<u>Moderately Effective Key Activities</u>
Benefit Renewal Options	
Introduction of new Flex Spending Benefit	
Presentation by MOA on Pension	

**Expected Contribution:** Training **Priority Weight:** 3 **Self-Rating:** 2.8 = 8.4

<u>Extremely Effective Key Activities</u>	<u>Moderately Effective Key Activities</u>
Development and Implementation of the Touchstone Program	Employee Relations Section of the Managers Manual written, training to be completed in the first few weeks of January.
Oversight of Frank Beech	

**Expected Contribution:** Employee Relations **Priority Weight:** 2 **Self-Rating:** 2.9 = 5.8

<u>Extremely Effective Key Activities</u>	<u>Moderately Effective Key Activities</u>
Positive Communication and effective relationships with residents ( 57 and the Window letter writers)	Employee Newsletter
Implementation of the "Best Practice" Touchstone Employee of the Month.	

Waverly-0054



**II. Goals / Objectives:**

List your goals found on your last evaluation and state their current status. *Note: It is not necessary to list the objectives found in the Management Plan. Your report on these due in November will be considered part of this evaluation.*

**Goals / Objectives:**

Employee Relations and Coaching Section of the Manager's Manual. - Written /  
Training in January

Communication with President – Though subjective I believe the President and I have a great relationship and communicate well on a consistent basis.

Attention to Detail – As a result of my attention to detail I identified mistakes in benefit bill made by previous benefits coordinator, made corrections and was able to obtain significant refunds from all providers. Benefit bills are accurate and well managed.

Customer Service Task Force – well managed group that resulted in a wonderful product – Touchstone Training

**III. Overall Rating:**

Based on your individual ratings for each of your *Expected Contributions* and the success in achieving your goals and Management Plan objectives, state your overall rating:

**Overall Rating:** 11/30.75 = 2.79 (2.0 to 3.0)


The overall rating is determined as follows:

- Multiply the weight by the self-rating for each Expected Contribution
- Add together the resulting amounts for all Expected Contributions, then divide by the total of all weights.

Please list any comments you feel will be helpful in the review of this self-evaluation.

**Comments:** With the turnover in my department and my assuming the responsibilities of two full time positions, I believe the completion of my goals is commendable. My dedication to WHL and my fellow departments kept me motivated to fill positions and manage benefits in a way that was relatively seamless to the other departments, while handling the demands of my own position. The addition of Jacquie and further development of both Frank and Jacquie will free me up to be creative in recognition, retention and new ways of communicating with staff in the up coming year.

My performance this year and ability to handle multiple jobs, projects, problems, and regular responsibilities should warrant my compensation to be at least at the market value of my position if not higher. Your consideration and recognition of my work is sincerely appreciated

Signed: 

Date: 12/31/07

Waverly-0055

Rec'd 12-18-08 Kathy

# **WAVERLY HEIGHTS DIRECTORS' SELF-EVALUATION FORM**

The purpose of the self-evaluation form is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, and suggest areas for improvement.

Kathy Metzger Director of Human Resources  
Director's Name Title

Evaluation Period: 12/07 to 12/08

## **Instructions**

### **I. Rating your Expected Contributions:**

Please evaluate your performance for each of the "Expected Contributions" found on your job profile, which is attached. Review each of the "key activities" found under the contribution category and list those activities for which you believe you have been extremely effective and those activities where you feel a better effort could have been made. It will be assumed that those key activities not listed by you are ones you have managed in an effective manner.

In effect, you will be giving each of your key activities one of these ratings:

- Extremely Effective: Value = 3 Performance that is extremely effective in fulfilling the "Key Activities" for your position. Performance results in extraordinary achievements, with significant contributions to the objectives of Waverly Heights.
- Effective: Value = 2 Performance that is effective in fulfilling the "Key Activities" for your position. This level of performance is expected by Waverly Heights.
- Moderately Effective: Value = 1 Performance that was less than effective in fulfilling the "Key Activities" for your position. These activities are those for which you believe your performance can be improved either through your efforts or changes in conditions beyond your control.

**Priority Weight:** Re-state the number (1, 2 or 3) as shown on your job profile.

**Self-Rating:** State one of the following numbers—2.0, 2.25, 2.5, 2.75, 3.00. This is your numerical rating for the stated "Expected Contribution."

**Expected Contribution:** Management and Morale **Priority Weight:** 3 **Self-Rating:** 2.75 = 8.25

<b>Extremely Effective Key Activities</b>	<b>Moderately Effective Key Activities</b>
Development of Jacquie Levin	
Policy revisions ( see accomplishments on 2008 Goals)	
Managing the hiring, promotion, demotion, discipline and discharge of all employees	

<b>Expected Contribution:</b> <u>Gov. / Accred. Regs</u> <b>Priority Weight:</b> <u>1</u> <b>Self-Rating:</b> <u>2.75</u> = 2.75	
<b>Extremely Effective Key Activities</b>	<b>Moderately Effective Key Activities</b>
Management of all employee files in "state survey" condition.	
Defend Charges brought by 4 employees to the EEOC / Human Relations Commission	

Waverly-0049



**Expected**  
**Contribution:** Budget

**Priority**  
**Weight:** 2 **Self-Rating:** 3 = 6

<b>Extremely Effective Key Activities</b>	<b>Moderately Effective Key Activities</b>
Managed Worker's Compensation claims that resulted in a \$70,000.00 reduction in premium and a return of \$352,042.00	
Successfully challenged unemployment claims that could have resulted in a charge of \$71,425,00	
Successfully worked with benefits consultant in creative benefit renewal that resulted in a cost savings of approx. \$100,00.00	

**Expected**  
**Contribution:** Training

**Priority**  
**Weight:** 3 **Self-Rating:** 2.75 = 8.25

<b>Extremely Effective Key Activities</b>	<b>Moderately Effective Key Activities</b>
Employee Relations and Coaching Training	Provide OSHA Training more effectively.
In Touch with HR Sessions, including sessions on MGIS and Flexible spending.	
Vendor show for benefit providers	

**Expected**  
**Contribution:** Employee Relations

**Priority**  
**Weight:** 2 **Self-Rating:** 2.75 = 5.5

<b>Extremely Effective Key Activities</b>	<b>Moderately Effective Key Activities</b>
Employee grievance resolution	
Confidentiality	
Interdepartmental relationships / Director and Manager Support system	

Waverly-0050

**III. Overall Rating:**

Based on your individual ratings for each of your *Expected Contributions* and the success in achieving your goals and Management Plan objectives, state your overall rating:

**Overall Rating 30.75 / 11 = 2.8 (2.0 to 3.0)**

The overall rating is determined as follows:

- Multiply the weight by the self-rating for each Expected Contribution
- Add together the resulting amounts for all Expected Contributions, then divide by the total of all weights.

Please list any comments you feel will be helpful in the review of this self-evaluation.

**Comments:**

The HR department suffered another loss this year with Frank Beech resigning. The coordination and re-vamping of New Hire Orientation and Annual Training were a challenge.

The responsibility for 4 standards in the CCAC/ CARF accreditation process was very time consuming.

The assumption of the Housekeeping and Laundry Departments were additional unforeseen responsibilities that resulted in a tremendous amount of time.

I believe that even though these additional responsibilities were assumed by me the overall success of the HR departments goals are commendable.

I believe that I am always ready and available to take on additional responsibilities and would appreciate a review of my compensation. I am diligent in my cost savings abilities and my management of costly programs has been financially beneficial to WHL. I feel that after 11 years of employment my salary should be above the market value of my position. Any consideration given this would be greatly appreciated.

I continue to enjoy working with you and look forward to the challenges the New Year will bring.

---

Signed: 

Date: 

:mph, Chrono File 12/18/2008

Waverly-0051

**Evaluation Summary – 2008**

**Kathy Metzger**

Your overall performance in 2008 was very good. You demonstrated a desire to improve areas in need, such as the front desk, and were willing to assume additional responsibility with the changeover of Directors in Housekeeping.

Your strength of performance continues to be the handling of employee relation issues, and in doing so, have demonstrated your objective interaction with peers and managers.

Your major area of improvement continues to be in the area of documentation and attention to detail. Drafts of documents need to be more closely proofread and assignments/ new processes need to be thought through prior to implementation.

Your management plan objectives for 2009 will provide you with opportunities to demonstrate continued positive performance while improving key areas. Your key objectives for 2009 are:

- Updating the Managers Manual for the Touchstone Program
- Updating the Managers Manual for the Hiring Process.

In summary, you are a valuable member of the management team and continue to help make Waverly an excellent community.

Waverly-0047

## WAVERLY HEIGHTS

## DIRECTORS' EVALUATION FORM

The purpose of the self-evaluation form is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, and suggest areas for improvement.

Director's Name: Kathy Metzger Title: Director - Human Resources  
 Evaluation Period 1-14-08 to 1-26-09

Extremely Effective: Value = 3 Performance that is extremely effective in fulfilling the "Key Activities" for your position. Performance results in extraordinary achievements, with significant contributions to the objectives of Waverly Heights.  
 Effective: Value = 2 Performance that is effective in fulfilling the "Key Activities" for your position. This level of performance is expected by Waverly Heights.  
 Moderately Effective: Value = 1 Performance that was less than effective in fulfilling the "Key Activities" for your position. These activities are those for which you believe your performance can be improved.

I. Job Profile Contributions: Self 2.80 Rating: 2.70

II. Management Plan: Goals / Objectives: Rating: 2.80

III. Other Accomplishments per Management Plan's Final Report: Rating: 2.80

EVALUATION SUMMARY: Rating: 2.75

See Attached

Current Pay: \$ 90,351 Market Value: \$ 94,690 C/R: 95  
 % Increase: 5.00% Effective: 12/21/08 (1st Pay in 2009)

William M. Maguire  
 President

1-26-09  
 Date

DIRECTOR'S COMMENTS:

[Signature]  
 Director

1/28/09  
 Date

WMM/mph: Chrono File, 1/14/2009

Waverly-0048

**WAVERLY HEIGHTS****DIRECTORS' EVALUATION FORM**

The purpose of the self-evaluation form is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, and suggest areas for improvement.

Director's Name: Kathy Jungclaus Title: Director of Human Resources  
 Evaluation Period 1-22-10 to 12-10-10

Extremely Effective: Value = 3 Performance that is extremely effective in fulfilling the "Key Activities" for your position. Performance results in extraordinary achievements, with significant contributions to the objectives of Waverly Heights.

Effective: Value = 2 Performance that is effective in fulfilling the "Key Activities" for your position. This level of performance is expected by Waverly Heights.

Moderately Effective: Value = 1 Performance that was less than effective in fulfilling the "Key Activities" for your position. These activities are those for which you believe your performance can be improved.

Job Profile Responsibilities: Self 2.72 Rating: 2.75  
 Management Plan: Goals / Objectives: Rating: 3.0  
 Other Accomplishments per Management Plan's Final Report: Rating: 2.75

**Overall Rating:**

Based on ratings for each of your *Expected Contributions* and the success in achieving your goals and Management Plan objectives, I have determined your overall rating to be: Overall Rating: ~~2.75~~ 2.83  
 TC

Thomas P. Garvin  
 President

12-13-2010  
 Date

Kathy Jungclaus  
 Director

12-13-2010  
 Date

Current Pay Rate: \$98,189 Market Value: \$100,658 C/R: 98 %  
 % of Increase: 3.0 % 2011 Pay Rate: \$101,135 2011 C/R: 100 %

Director Comments:

Waverly-0043



Evaluation Summary - 2010	
Director Name/Position	Kathy Jungclaus-Director of Human Resources
Hire Date	4/7/1997
Evaluation Date	12/13/2010
Self-Evaluation Score	2.72
CEO-Evaluation Score	2.83
Major Accomplishments in 2010	<ul style="list-style-type: none"> <li>• Strong employee morale at Waverly Heights</li> <li>• Timely and effective recruitment with few open positions and low turnover (11%)</li> <li>• No citations during health surveys regarding employee files</li> <li>• Good worker compensation control in working with workers compensation captive. 18K in security collateral reduction and 101K in dividend distribution</li> <li>• Silver Chair Training implementation and management</li> <li>• Assisted board chair with the transition of president of WH</li> <li>• Touchstone training for HCC staff and received trademark</li> <li>• Served as director for housekeeping and laundry during director vacancy. Assisted in transition of new director</li> </ul>
Areas of Focus in 2011  <i>- Gift shop</i> <i>- Front Desk operations</i> <i>- M&amp;A</i>	<ul style="list-style-type: none"> <li>• Achieve "Best Places to Work" status</li> <li>• Work with directors on timely evaluation completion</li> <li>• Work with directors on accountability and communication-treating staff well</li> <li>• Continued focus on Touchstone Training for HCC Staff and development of the program, in conjunction with directors, for dining services, maintenance, housekeeping, and laundry areas</li> <li>• Hiring, training and assisting in the transition of staff related to the new HCC.</li> </ul>

Your overall performance in 2010 was very strong. I have been impressed with willingness to assist your peers and the community on projects outside your direct area of responsibility. Your strong interpersonal skills and relationship with staff are key components to the overall positive moral at Waverly Heights.

In your evaluation last year you were challenged to focus on "attention to detail" and to maintain a "to do" list. In the time I have been at Waverly it appears you have worked hard to resolve this issue and you are encouraged to continue these as focus areas.

Kathy, I would like to thank you for your assistance in my orientation to Waverly Heights. My observations, as someone with a "fresh set of eyes," are that we have very strong employee relations in addition to a competitive pay and benefits program. This focus on the employee enhances our position as an "employer of choice" and positions us for achieving this status in 2011.

Waverly-0044

## WAVERLY HEIGHTS

## DIRECTORS' EVALUATION FORM

The purpose of the self-evaluation form is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, and suggest areas for improvement.

Director's Name: Kathy Jungclaus Title: Director of Human Resources  
 Evaluation Period 1-26-09 to 1-22-10

Extremely Effective: Value = 3 Performance that is extremely effective in fulfilling the "Key Activities" for your position. Performance results in extraordinary achievements, with significant contributions to the objectives of Waverly Heights.  
 Effective: Value = 2 Performance that is effective in fulfilling the "Key Activities" for your position. This level of performance is expected by Waverly Heights.  
 Moderately Effective: Value = 1 Performance that was less than effective in fulfilling the "Key Activities" for your position. These activities are those for which you believe your performance can be improved.

I. Job Profile Contributions: Self 2.80 Rating: 2.75

II. Management Plan: Goals / Objectives: Rating: 2.75

III. Other Accomplishments per Management Plan's Final Report: Rating: 2.75

EVALUATION SUMMARY: Rating: 2.75

See Attached

Current Pay: \$94,869 Market Value: \$96,110 C/R: 99

% Increase: 3.50% Effective: 12/20/09

William M. McGuire 1-22-10  
 President Date

DIRECTOR'S COMMENTS:

Kathy Jungclaus 1/22/10  
 Director Date

**EVALUATION SUMMARY – 2009**

**Kathy Jungclaus**

Your overall performance continued to be very good in 2009.

**Your demonstrated strengths this past year include:**

- Handling of employee relations issues
- Stepping up to develop Touchstone 102 Training
- The effort at improving your working relationship with Anne
- Efforts to improve operations of the front desk
- Issuing of the total compensation and benefits manual for all full time and part time employees
- Maintaining a sense of objectivity when dealing with the department directors
- Effort made with hourly employees regarding 2010 Medical Benefits

**Your areas of improvement include:**

- Attention to detail. Schedules, reports, manuals etc. require a better review before forwarding.
- Maintain a "to do" listing of projects/reports that I have requested of you. We both need to make sure that nothing gets lost.

**Major areas to be addressed in 2010:**

- Effective delivery of Touchstone 102 to Dining Services, Housekeeping and Building Services.
  - Confirm prior to hiring that candidates have gone through the proper interviewing process for their position.
  - Develop Touchstone 103 for the Managers Manual on how departments need to work together.
  - During 2010, on all final documents presented to me that they never are returned with "ATD"
- Attention to Detail

Waverly-0046

**WAVERLY HEIGHTS**  
**Director Evaluation Summary**

The purpose of this evaluation is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, suggest areas for improvement, and to review the overall performance from the previous year.

Director's Name: Kathleen Jungclaus Title: Director of Human Resources

Evaluation Period 12/2010 to 12/2011

**Performance Ratings are based on the following scale:**

<u>Exceptional:</u>	Value = 5	Consistently exceeds department performance expectations. Director accomplishments results in extraordinary achievements, with significant contributions to the objectives of Waverly Heights.
<u>Commendable:</u>	Value = 4	Frequently exceeds department performance expectations. Director often produces better than expected results.
<u>Solid Performer:</u>	Value = 3	Meets performance expectations according to the director's job profile. This level of performance is expected by Waverly Heights.
<u>Needs Improvement:</u>	Value = 2	Does not consistently meet performance director performance expectations. These activities are those for which you believe your performance can be improved.
<u>Unacceptable:</u>	Value = 1	Does not meet director performance expectations according to the job profile.

Self-Rating Job Profile Responsibilities:  
 (Add ratings for each area and divide by the total)

Self-Rating: 32.8/8=4.1

Supervisor Rating Job Profile Responsibilities:

Rating: 4.4

Self-Rating Management Plan: Goals / Objectives:

Self-Rating: 4

Supervisor Rating Management Plan: Goals / Objectives:

Rating: 4

**Overall Rating:** Based on ratings for each of your *Expected Contributions* and the success in achieving your Management Plan Goals, I have determined your overall rating to be:

Overall Rating: 4.40

Thomas P. L...  
 President

12/8/11  
 Date

Kathleen M. Jungclaus  
 Director

12/8/11  
 Date

Completed by President:

Current Pay Rate/Comp Ratio: \$101,135/ 1.0 2012 Market Value: \$101,441.00

% of Increase: 4.98% 2012 Pay Rate: \$106,169 New C/R: 1.05

Waverly-0038

I worked diligently to succeed with the Best Places to Work Goal. This accomplishment demonstrates my strong relationship with the staff of WHL.

**Self-Evaluation Rating: 4.3**

**Supervisor Rating: 5**

**Supervisors Evaluation Comments:**

Kathy leads by example in the area of employee relations. She drove the process that recognized Waverly Heights as a "Best Places To Work in PA." She keeps a constant focus on employee relations activities and generates ideas on how to improve.

Kathy knows how to hold people accountable and works with directors to maintain the standards of performance expected of their staff.

Low staff turnover has resulted in positive quality outcomes at WHL. Kathy and her department organized countless employee relations activities throughout the year which are well received at all levels of the organization.



should work closely with the sub-committee to guide them through the benefit review process in the coming months.

**OVERALL PERFORMANCE:** This section details how directors perform their job utilizing the "Expected Contributions" appropriate for their position. Not all "key indicators" from the job profile need to be addressed in developing rating score.

➤ **EXPECTED CONTRIBUTION: RESIDENT SATISFACTION**

- |  |   |
|--|---|
| <ul style="list-style-type: none"> <li>○ Scores on biennial resident satisfaction survey demonstrate positive satisfaction with department</li> <li>○ Director surveys residents on an ongoing basis for direct feedback on department services</li> <li>○ Follows-up on feedback from residents timely</li> </ul> | <ul style="list-style-type: none"> <li>○ Provides written response to concerns addressed to director in writing</li> <li>○ Conducts effective committee meetings with advisory and board committees</li> <li>○ Minutes of board and advisory committee meetings are timely and of high quality</li> </ul> |
|--|---|

**Describe actual performance and accomplishments:**

Though I do not have significant contact with Resident I am positively viewed based on survey responses. I actively and efficiently participate in all HR Committee Meetings or Board Meetings if deemed necessary.

**Self-Evaluation Rating: 4**

**Supervisor Rating: 4**

**Supervisors Evaluation Comments:**

Resident satisfaction with Kathy is very high. She works to know the residents even though she has no direct involvement with them via her position at HR Director. Through her position in HR she is highly respected for the training and development of the staff in how they treat our residents and the quality they ultimately provide. Our staff overall performance can be tied directly back to the HR related activities.

➤ **EXPECTED CONTRIBUTION: INNOVATIVENESS/STRATEGIC PLANNING**

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li>○ Generates new ideas related to improving department operations and/or that of Waverly</li> <li>○ Completes goals and objectives timely and in quality manner for the annual Leadership Plan</li> </ul> | <ul style="list-style-type: none"> <li>○ Possesses ability to think beyond the current time and to develop programs, services, and amenities for the future</li> </ul> |
|---|--|

**Describe actual performance and accomplishments:**

I am constantly looking for new ways to improve training or the employee experience. Whether it is through experimental things like the Lunch and Learn movie or traditional trainings, innovation is what keeps employment at WHL fresh and new. By focusing on and accomplishing my goals and objectives I have been able to move more programs forward rather than stand still

**Self-Evaluation Rating: 4**

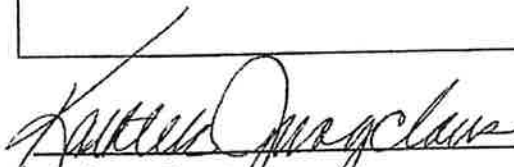
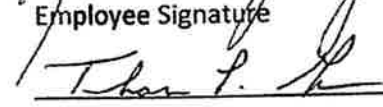
**Supervisor Rating: 5**

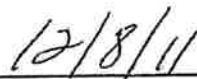

**Supervisors Evaluation Comments:**

Kathy did an excellent job at establishing her goals for the year. She subsequently achieved her goals, thereby moving the department and WHL strategically forward. Kathy provides wonderful insight into the future needs of the organization as we work to attract, hire, and retain qualified staff.

Kathy, thank you for your efforts during the past year and I look forward to seeing what you will accomplish in the coming year.

Employee's Comments:

  
Employee Signature  
  
President Signature

  
Date  
  
Date

**WAVERLY HEIGHTS**  
**Director Evaluation Summary**

The purpose of this evaluation is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, suggest areas for improvement, and to review the overall performance from the previous year.

Director's Name: Kathy Jungclaus Title: Director, Human Resources

Evaluation Period 12/2011 to 12/2012

**Performance Ratings are based on the following scale:**

<u>Exceptional:</u>	Value = 5	Consistently exceeds department performance expectations. Director accomplishments results in extraordinary achievements, with significant contributions to the objectives of Waverly Heights.
<u>Commendable:</u>	Value = 4	Frequently exceeds department performance expectations. Director often produces better than expected results.
<u>Solid Performer:</u>	Value = 3	Meets performance expectations according to the director's job profile. This level of performance is expected by Waverly Heights.
<u>Needs Improvement:</u>	Value = 2	Does not consistently meet performance director performance expectations. These activities are those for which you believe your performance can be improved.
<u>Unacceptable:</u>	Value = 1	Does not meet director performance expectations according to the job profile.

Self-Rating Job Profile Responsibilities:  
 (Add ratings for each area and divide by the total)

Self-Rating: 34.2/8 = 4.28

Supervisor Rating Job Profile Responsibilities:

Rating: 35/8=4.37

**Overall Rating:** Based on ratings for each of your *Expected Contributions* and the success in achieving your Management Plan Goals, I have determined your overall rating to be:

Overall Rating: 4.37

Thomas P. Sta  
 President

12/17/12  
 Date

Kathy Jungclaus  
 Director

\_\_\_\_\_  
 Date

Completed by President:

Current Pay Rate: \$106,171

<sup>2013</sup>  
 Market Value: 102,962

C/R: 1.04

% of Increase: 3%

2012 Pay Rate: 109,345

New C/R: 1.06

**OVERALL PERFORMANCE:** This section details how directors perform their job utilizing the "Expected Contributions" appropriate for their position. Not all "key indicators" from the job profile need to be addressed in developing rating score.

➤ **EXPECTED CONTRIBUTION: LEADERSHIP**

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>○ Makes strong, effective, and timely decisions</li> <li>○ Leads by example</li> <li>○ Operations manual maintained current</li> <li>○ Maintains department quality at the highest level</li> <li>○ Is a daily example of Touchstone Customer Service</li> </ul> | <ul style="list-style-type: none"> <li>○ Keeps President informed of significant issues impacting department operations</li> <li>○ Demonstrates flexibility and willingness to go above and beyond</li> <li>○ Asks for and is responsive to feedback on own management style</li> </ul> |
|---|---|

**Describe actual performance and accomplishments:**

I strive on a daily basis to remain objective and consistent in my leadership responsibilities. Though sometimes challenged, I try to lead by example and provide a basis of Touchstone Customer Service. I am open to criticism and seek it out from my trusted peers in order to keep myself in check. I believe I have a good relationship with the president and keep the lines of communication open at all times. In the past year I have faced many challenges with employee relations often at the peer level. Though sometimes personally involved, I have strived to maintain my professionalism and appreciate the support given me by the president.

I am dedicated to the staff of Waverly Heights and am ever present and available to them.

**Self-Evaluation Rating: 4.3**

**Supervisor Evaluation Rating: 4.5**

**Supervisors Evaluation Comments:**

Kathy has been invaluable in her role as a leader within WHL this past year. She assisted with a variety of issues with some senior staff at WHL. She is a trusted and valued member of the senior management team. Kathy has shown an ability to remove her personal feeling and emotions when dealing with some very difficult situations this past year.

Kathy worked with the staff of the business office to address their concerns/issues with CFO and the team is stronger today than ever. Kathy is a trusted resource to staff and she resolves issues effectively and timely.



**OVERALL PERFORMANCE:** This section details how directors perform their job utilizing the "Expected Contributions" appropriate for their position. Not all "key indicators" from the job profile need to be addressed in developing rating score.

➤ **EXPECTED CONTRIBUTION: EMPLOYEE RELATIONS/PEOPLE MANAGEMENT**

- |  |   |
|--|---|
| <ul style="list-style-type: none"> <li>○ Completes employee evaluations timely</li> <li>○ Consistently holds department meetings</li> <li>○ Communicates effectively with staff</li> <li>○ Utilizes incentives (gift cards, personal notes, etc.) to properly recognize staff</li> <li>○ Demonstrates ability to promote positive employee relations</li> <li>○</li> </ul> | <ul style="list-style-type: none"> <li>○ Holds staff accountable</li> <li>○ Identifies and resolves conflict/dissatisfaction issues</li> <li>○ Demonstrates low tolerance for underperformers</li> <li>○ Non-productive department turnover is held to a minimum</li> <li>○ Avoids getting caught up in work that shortchanges personal contact</li> <li>○ Looks for ways to encourage staff professional growth</li> </ul> |
|--|---|

**Describe actual performance and accomplishments:**

Successful employee relations management translates into our being recognized as an Employer of Choice. I believe that our employees recognize that they are dealt with fairly and that when I am brought into a conflict the resolution is one both parties can agree to. I believe that I promote, encourage and strengthen communication between employees and management at all levels. I strive to promote and safeguard the proper application of our policies and procedures. I work to establish and heighten mutual trust and acceptance within the Waverly community. I continue to provide confidential, fair, reliable and effective resolutions in a timely fashion.

**Self-Evaluation Rating: 4.4**

**Supervisor Rating: 4.5**

**Supervisors Evaluation Comments:**

Under Kathy's leadership employee relations are very strong. Staff responded very positively on the employee satisfaction survey and again we achieved status as Best Place to Work in PA. Kathy and the HR team again planned and organized a wide variety of employee picnics, parties, and other events that were well received. I encourage Kathy to continue to find new activities and programs that that staff would enjoy. Kathy's staff performs at a high level with her guidance. They are developing new training programs and monitoring existing methods of development. Turnover continues to be very low. Employee selection is thorough and has resulted in some excellent hires this year. Kathy should analyze employees who were hired and did not work out to see what methods we could use to do even better screening of potential hires.

**OVERALL PERFORMANCE:** This section details how directors perform their job utilizing the "Expected Contributions" appropriate for their position. Not all "key indicators" from the job profile need to be addressed in developing rating score.

➤ **EXPECTED CONTRIBUTION: TEAMWORK/COLLABORATION BETWEEN DEPARTMENTS**

- |  |   |
|--|---|
| <ul style="list-style-type: none"> <li>○ Deals directly with peers</li> <li>○ Collaborates on shared leadership goals and objectives</li> <li>○ Offers clear and direct communication at Sr. Management meetings</li> <li>○ Is an effective team builder promoting strong working relationships</li> </ul> | <ul style="list-style-type: none"> <li>○ Resolves interdepartmental issues in a professional and respectful manner</li> </ul> |
|--|---|

**Describe actual performance and accomplishments:**

I work well with Senior Management Team and am dedicated to a trusting, supportive and collaborative environment. When an issue arises, I strive to deal directly and honestly with the individual, this sometimes means confronting an uncomfortable situation. I pride myself on my ability to take the bull by the horns, work at an issue, resolve it and move forward. I do not harbor grudges or avoid uncomfortable topics. I challenge myself to be diplomatic and see both sides of all situations.

**Self-Evaluation Rating: 4.3**

**Supervisor Rating: 4.5**

**Supervisors Evaluation Comments:**

Kathy works exceptionally well with her peers and the other departments. She is seen as a valuable resource in dealing with employee related issues. She also provides excellent input on other issues that impact WHL. When an issue is identified within a department Kathy is able to engage the individual involved and resolve the issues in the best interest of WHL.

➤ **EXPECTED CONTRIBUTION: FINANCIAL MANAGEMENT**

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li>○ Maintains operating expenses within budget</li> <li>○ Capital projects completed on-time and within budget</li> <li>○ Labor hours maintained at or under budget</li> <li>○ Effective in meeting revenue requirement and growing revenue where appropriate</li> </ul> | <ul style="list-style-type: none"> <li>○ Overtime is held to a minimum and controlled where possible</li> <li>○ Actively participates in the development of the operating and capital budgets</li> <li>○ Invoices processed timely and accurately</li> </ul> |
|---|--|

**Describe actual performance and accomplishments:**

I work within my budget at all times. I strive to control costs and by paying attention to the details I effectively manage our Worker's compensation claims resulting in significant returns on our investments. Invoices are processed timely. I actively participate in the operating budget process and the Labor Budget process for the entire community.

**Self-Evaluation Rating: 4.2**

**Supervisor Rating: 4**

**Supervisors Evaluation Comments:**

Financial management of the HR area has been very good. Workers compensation program is well managed and lost time days are minimal. Health insurance premiums have dropped for the second year in a row. Staffing is within budget with little to no overtime in HR department. Excellent participant in the budgeting process for the entire community. Closely monitors the addition of staff to coincide with new areas of HCC.

Waverly-0034

**OVERALL PERFORMANCE:** This section details how directors perform their job utilizing the "Expected Contributions" appropriate for their position. Not all "key indicators" from the job profile need to be addressed in developing rating score.

➤ **EXPECTED CONTRIBUTION: REGULATORY COMPLIANCE**

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li>○ Survey deficiencies are minimal with no negative resident outcomes</li> <li>○ Required reports to governmental agencies are timely, accurate, and thorough.</li> </ul> | <ul style="list-style-type: none"> <li>○ Timely application for all licenses and certificates</li> <li>○ Interaction with surveyors is professional and demonstrates mutual respect</li> </ul> |
|---|--|

**Describe actual performance and accomplishments:**

The Human Resource Component of the state surveys has been excellent. All required reports are filed timely. I am compliant in all areas of regulation.

**Self-Evaluation Rating: 4**

**Supervisor Rating: 5**

**Supervisors Evaluation Comments:**

There have been no deficiencies in the area of HR in any of the inspections for WHL. Kathy should continue to focus on solid documentation in employee files as the regulations and inspection of employee files is growing with every survey. Kathy should ensure that all staff files are current with all requirements for background checks, evaluations, and trainings as this is critical to the ongoing success of WHL.

➤ **EXPECTED CONTRIBUTION: SAFETY AND TRAINING**

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>○ Employees attend mandatory training</li> <li>○ Employees complete Silver Chair timely</li> <li>○ Support Safety Committee programs and activities</li> </ul> | <ul style="list-style-type: none"> <li>○ Work related injuries are minimal and reported immediately.</li> <li>○ Employees are encouraged to receive the flu vaccine yearly</li> </ul> |
|---|---|

**Describe actual performance and accomplishments:**

I am responsible for ensuring that all employees complete their required training before they begin work and then on annual basis thereafter. I look forward to having some time to further enhance and develop training so it is fresh for the new year! Work related injuries are effectively managed and Waverly has paid out a total \$13,000.00 in loss this year.

**Self-Evaluation Rating: 4.4**

**Supervisor Rating: 4.5**

**Supervisors Evaluation Comments:**

Kathy improved the amount of training of all staff receive within their department by pushing the directors to add additional department specific training. She monitors Silverchair for employee compliance. Would like for Kathy to continue to monitor the activity of the Safety Committee. Kathy has a big goal to implement FISH training and a new General Orientation and annual training program in 2013. I look forward to seeing the results of this goal!

**OVERALL PERFORMANCE:** This section details how directors perform their job utilizing the "Expected Contributions" appropriate for their position. Not all "key indicators" from the job profile need to be addressed in developing rating score.

➤ **EXPECTED CONTRIBUTION: RESIDENT SATISFACTION**

- |  |   |
|--|---|
| <ul style="list-style-type: none"> <li>○ Scores on biennial resident satisfaction survey demonstrate positive satisfaction with department</li> <li>○ Director surveys residents on an ongoing basis for direct feedback on department services</li> <li>○ Follows-up on feedback from residents timely</li> </ul> | <ul style="list-style-type: none"> <li>○ Provides written response to concerns addressed to director in writing</li> <li>○ Conducts effective committee meetings with advisory and board committees</li> <li>○ Minutes of board and advisory committee meetings are timely and of high quality</li> </ul> |
|--|---|

**Describe actual performance and accomplishments:**

I have had more contact with residents this past year by way of my management of the Housekeeping Department. Though not always pleasant I managed to meet with or address concerns so that the issues were resolved and residents felt respected and heard.

My meetings with the HR Committee are received well and no issues have been brought to my attention.

I participated in the Non- Wage Task Force this past year and successfully presented information that allayed the concerns of the HR Committee Members and the Board of Trustees regarding their perception of over the top benefits for the Senior Managers.

**Self-Evaluation Rating: 4.4**

**Supervisor Rating: 4**

**Supervisors Evaluation Comments:**

Resident and the board are both very pleased in their dealings with Kathy. She has been more than willing to step in where needed when openings have occurred. Kathy is a constant presence and her leadership makes everyone realize that WHL will function with business as usual even in challenging times. Residents are treated with respect and dignity by Kathy and her staff.

➤ **EXPECTED CONTRIBUTION: INNOVATIVENESS/STRATEGIC PLANNING**

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li>○ Generates new ideas related to improving department operations and/or that of Waverly</li> <li>○ Completes goals and objectives timely and in quality manner for the annual Leadership Plan</li> </ul> | <ul style="list-style-type: none"> <li>○ Possesses ability to think beyond the current time and to develop programs, services, and amenities for the future</li> </ul> |
|---|--|

**Describe actual performance and accomplishments:**

I look for ways to continuously enhance the work experience here at WHL. I do not limit myself to my department but I look at WHL as a whole for strategic planning that is new and fresh. I appreciate the ideas of others and am dedicated to further growing our organization so we do not become a stale provider or employer.

**Self-Evaluation Rating: 4.2**

**Supervisor Rating: 4**

**Supervisors Evaluation Comments:**

Kathy is a critical part of developing the annual leadership plan. This year we implemented a mid-year Leadership Plan update meeting. This was well received and helped achieve the goal of consistent and regular communication with the leadership team. Kathy is a great idea generator and many of her ideas turn into goals that improve our community.

Waverly-0036



**Other Accomplishments:** Use this section to identify any development goals or special one-time accomplishments that went beyond the regular job expectations and are not covered elsewhere in this document.

Review of the Risk Management Manual and presentation to the full Board of Trustees..

Oversight and responsibility of difficult terminations and their effects on the community: i.e. Victoria West, Marcia Stewart, Celia Cruz, Joe Vincent.

Business Office employee relations issues.

Management and oversight of Robin Johnson.

Management of the Housekeeping and Laundry Department in the absence of, recruitment of and development of the new department director.

Defense and successful litigation of the Merlene Thomas Civil Suit.

**Personal Goals and Areas of Focus:**

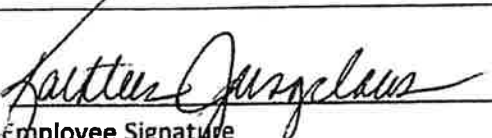
Training Development


Risk Management

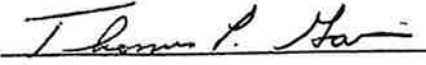
**Supervisor's Overall Comments:**

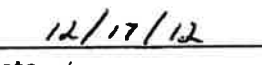
Kathy has accomplished many things this year. Her successes have come as a result of hard work and strong employee relations. She has been a trusted advisor to the president through some very challenging situations. She is to be commended for her ability to professionally help manage through the very difficult terminations of some long-term employees. I appreciate Kathy for her wisdom, guidance, and support this past year. Today we have happy employees because of the moves that were made to improve employee morale.

**Employee's Comments:**

  
Employee Signature

  
Date

  
President Signature

  
Date

Waverly-0037



**WAVERLY HEIGHTS**  
**Director Evaluation Summary**

The purpose of this evaluation is to assist in the professional development of Waverly Heights Department Directors, enhance communication between the President and Directors, recognize areas of strength, suggest areas for improvement, and to review the overall performance from the previous year.

Director's Name: Kathy Jungclaus Title: Director, Human Resources

Evaluation Period 12/2012 to 12/2013

**Performance Ratings are based on the following scale:**

<u>Exceptional:</u>	Value = 5	Consistently exceeds department performance expectations. Director accomplishes results in extraordinary achievements, with significant contributions to the objectives of Waverly Heights.
<u>Commendable:</u>	Value = 4	Frequently exceeds department performance expectations. Director often produces better than expected results.
<u>Solid Performer:</u>	Value = 3	Meets performance expectations according to the director's job profile. This level of performance is expected by Waverly Heights.
<u>Needs Improvement:</u>	Value = 2	Does not consistently meet performance director performance expectations. These activities are those for which you believe your performance can be improved.
<u>Unacceptable:</u>	Value = 1	Does not meet director performance expectations according to the job profile.

Self-Rating Job Profile Responsibilities:  
 (Add ratings for each area and divide by the total)

Self-Rating: 35.2/8 = 4.4

Supervisor Rating Job Profile Responsibilities:

Rating: 34/8=4.25

**Overall Rating:** Based on ratings for each of your *Expected Contributions* and the success in achieving your Management Plan Goals, I have determined your overall rating to be:

Overall Rating: 4.25

Thomas P. Han  
 President

12/20/2013  
 Date

Kathy Jungclaus  
 Director

12/20/13  
 Date

Completed by President:

Current Pay Rate: \$109,356 Market Value: \$109,772 C/R: 1.0

% of Increase: 3.25% (\$3,554) 2014 Pay Rate: \$112,910 New C/R: 1.03

Waverly-0020

**OVERALL PERFORMANCE:** This section details how directors perform their job utilizing the "Expected Contributions" appropriate for their position. Not all "key indicators" from the job profile need to be addressed in developing rating score.

➤ **EXPECTED CONTRIBUTION: LEADERSHIP**

- Makes strong, effective, and timely decisions
- Leads by example
- Maintains department quality at the highest level
- FISH

- Works closely with the President on staffing issues at the highest level.
- Maintains confidentiality and discretion beyond reproach.
- Demonstrates flexibility and willingness to go above and beyond
- Introduced FISH and delivered training to all WHL and WCA staff in 32 sessions throughout 2013/

**Describe actual performance and accomplishments:**

2013 can be described as a year of shedding! Though difficult, many employees, some long term, have found their way to new employment. I believe that I have a position of trust with the President. This trust translates into a cohesive working relationship where issues are addressed and new pathways are forged. My implementation of the FISH training has been overwhelmingly received and has been a benefit to WHL and WCA. This training promotes camaraderie across department lines and has truly enhanced the work environment at WHL. I am open to any project and not afraid to address concerns that present themselves to me even at a peer level.

**Self-Evaluation Rating: 4.7**

**Supervisor Evaluation Rating: 4**

**Supervisors Evaluation Comments:**

Kathy demonstrates solid leadership skills as she conducts her day-to-day activities. Her leadership has proven extremely helpful in dealing with some very difficult employee related issues this past year. Kathy communicates freely and openly with her ideas, thoughts, and suggestions. Her opinions are greatly respected and appreciated. She takes great initiative to accomplish her established goals and objectives. Her enthusiasm for the FISH training has been contagious throughout the community.

➤ **EXPECTED CONTRIBUTION: EMPLOYEE RELATIONS/PEOPLE MANAGEMENT**

- Completes employee evaluations timely
- Consistently holds department meetings
- Communicates effectively with staff
- Utilizes incentives (gift cards, personal notes, etc.) to properly recognize staff
- Demonstrates ability to promote positive employee relations

- Holds staff accountable
- Identifies and resolves conflict/dissatisfaction issues
- Demonstrates low tolerance for underperformers
- Non-productive department turnover is held to a minimum
- Avoids getting caught up in work that shortchanges personal contact
- Looks for ways to encourage staff professional growth

**Describe actual performance and accomplishments:**

Successful employee relations management translates into our being recognized as a Best Place to Work for the third consecutive year. I believe that our employees recognize that they are dealt with fairly and that when I am brought into a conflict the resolution is one both parties can agree to. I believe that I promote, encourage and strengthen communication between employees and management at all levels. I strive to promote and safeguard the proper application of our policies and procedures. I work to establish and heighten mutual trust and acceptance within the Waverly community. I continue to provide confidential, fair, reliable and effective resolutions in a timely fashion.

**Self-Evaluation Rating: 4.6**

**Supervisor Rating: 4**

**Supervisors Evaluation Comments:**

Kathy is a very employee focused person. She takes the moral and general satisfaction of our employees very seriously and she works hard to create an environment where they feel appreciated and respected. Kathy drives the process behind the Best Places to Work Survey and our results could not be more outstanding. She coordinates wonderful employee events throughout the year. She also works to ensure staff is compliant with training and other mandated requirements.

Waverly 0021

**OVERALL PERFORMANCE:** This section details how directors perform their job utilizing the "Expected Contributions" appropriate for their position. Not all "key indicators" from the job profile need to be addressed in developing rating core.

➤ **EXPECTED CONTRIBUTION: TEAMWORK/COLLABORATION BETWEEN DEPARTMENTS**

- |  |   |
|--|---|
| <ul style="list-style-type: none"> <li>○ Deals directly with peers</li> <li>○ Collaborates on shared leadership goals and objectives</li> <li>○ Offers clear and direct communication at Sr. Management meetings</li> <li>○ Is an effective team builder promoting strong working relationships</li> </ul> | <ul style="list-style-type: none"> <li>○ Resolves interdepartmental issues in a professional and respectful manner</li> </ul> |
|--|---|

**Describe actual performance and accomplishments:**

I believe that I work well with the Senior Management Team and am dedicated to a trusting, supportive and collaborative environment.

When an issue arises, I strive to deal directly and honestly with the individual, this sometimes means confronting an uncomfortable situation. I pride myself on my ability to take the bull by the horns, work at an issue, resolve it and move forward. I do not harbor grudges or avoid uncomfortable topics.

I challenge myself to be diplomatic and see both sides of all situations. I encourage open communication and frequently encourage directors, managers and staff to deal directly with a coworker if they are having an issue. This is the only way to work toward total trust and transparency in an organization.

**Self-Evaluation Rating: 4.5**

**Supervisor Rating: 5**

**Supervisors Evaluation Comments:**

Kathy facilitates teamwork and collaboration through her daily interactions with her peers. She assists Directors who may need support and guidance on how to handle difficult employee situations. Directors know they can count on Kathy and her team to assist whenever there is a need. Kathy does a great job building teamwork amongst staff at all levels of the organization. As President I can count on Kathy to work collaboratively with the team and she consistently get excellent results.

➤ **EXPECTED CONTRIBUTION: FINANCIAL MANAGEMENT**

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li>○ Maintains operating expenses within budget</li> <li>○ Capital projects completed on-time and within budget</li> <li>○ Labor hours maintained at or under budget</li> <li>○ Effective in meeting revenue requirement and growing revenue where appropriate</li> </ul> | <ul style="list-style-type: none"> <li>○ Overtime is held to a minimum and controlled where possible</li> <li>○ Actively participates in the development of the operating and capital budgets</li> <li>○ Invoices processed timely and accurately</li> </ul> |
|---|--|

**Describe actual performance and accomplishments:**

I work within my budget at all times. I strive to control costs and by paying attention to the details I effectively manage our Worker's compensation claims resulting in significant returns on our investments. Invoices are processed timely. I actively participate in the operating budget process and the Labor Budget process for the entire community.

**Self-Evaluation Rating: 4.2**

**Supervisor Rating: 4**

**Supervisors Evaluation Comments:**

Kathy has a good focus on the financial operations of her department. She has been consistently under budget in her various operational expense categories. She has managed the worker's compensation program tremendously well and our annual expenses continue to be extremely reasonable within the Captive. Kathy keeps a close eye on the health insurance premiums for the community and works with NFP to ensure we are receiving the best possible rates and benefits.

Waverly-0022

**OVERALL PERFORMANCE:** This section details how directors perform their job utilizing the "Expected Contributions" appropriate for their position. Not all "key indicators" from the job profile need to be addressed in developing rating score.

➤ **EXPECTED CONTRIBUTION: REGULATORY COMPLIANCE**

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li>○ Survey deficiencies are minimal with no negative resident outcomes</li> <li>○ Required reports to governmental agencies are timely, accurate, and thorough.</li> </ul> | <ul style="list-style-type: none"> <li>○ Timely application for all licenses and certificates</li> <li>○ Interaction with surveyors is professional and demonstrates mutual respect</li> </ul> |
|---|--|

**Describe actual performance and accomplishments:**

The Human Resource Component of the state surveys has been excellent. All required reports are filed timely. I am compliant in all areas or regulation.

**Self-Evaluation Rating: 4**

**Supervisor Rating: 4**

**Supervisors Evaluation Comments:**

There have been no deficiencies or citations related to the area of Human Resources. Kathy should continue to work with Trish to be sure notices of evaluations, Silver Chair Training, and TB, go out timely and consistently. The HR department will need to begin conducting the OIG checks on all staff to ensure compliance with new laws and regulations.

➤ **EXPECTED CONTRIBUTION: SAFETY AND TRAINING**

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>○ Employees attend mandatory training</li> <li>○ Employees complete Silver Chair timely</li> <li>○ Support Safety Committee programs and activities</li> </ul> | <ul style="list-style-type: none"> <li>○ Work related injuries are minimal and reported immediately.</li> <li>○ Employees are encouraged to receive the flu vaccine yearly</li> </ul> |
|---|---|

**Describe actual performance and accomplishments:**

I am responsible for ensuring that all employees complete their required training before they begin work and then on annual basis thereafter. A complete overhaul of the Annual Training Presentation was done at the beginning of the year and the overall satisfaction of employees is significant. Anastasia has been developed into a terrific presenter that is well respected and well received. I look forward to having some time to further enhance and develop training so it is fresh for the new year! Work related injuries are effectively managed with Waverly receiving substantial money back from the program.

**Self-Evaluation Rating: 4.5**

**Supervisor Rating: 5**

**Supervisors Evaluation Comments:**

Under Kathy's leadership Waverly Heights provides an extremely safe environment. She aggressively follows-up on work related injuries. She has assisted with some difficult worker's comp issues at WCA. The annual safety fair was a great success and I appreciate all the efforts of the HR department to make it happen.

Waverly-0023



**OVERALL PERFORMANCE:** This section details how directors perform their job utilizing the "Expected Contributions" appropriate for their position. Not all "key indicators" from the job profile need to be addressed in developing rating core.

➤ **EXPECTED CONTRIBUTION: RESIDENT SATISFACTION**

- |  |   |
|--|---|
| <ul style="list-style-type: none"> <li>○ Scores on biennial resident satisfaction survey demonstrate positive satisfaction with department</li> <li>○ Director surveys residents on an ongoing basis for direct feedback on department services</li> <li>○ Follows-up on feedback from residents timely</li> </ul> | <ul style="list-style-type: none"> <li>○ Provides written response to concerns addressed to director in writing</li> <li>○ Conducts effective committee meetings with advisory and board committees</li> <li>○ Minutes of board and advisory committee meetings are timely and of high quality</li> </ul> |
|--|---|

**Describe actual performance and accomplishments:**

I have had minimal contact with residents this year. My meetings with the HR Committee and my presentation to the Full Board on my Annual Statistics were received well and no issues have been brought to my attention.

**Self-Evaluation Rating: 4.2**

**Supervisor Rating: 4**

**Supervisors Evaluation Comments:**

Kathy is more informally recognized by the resident by their recognition of how terrific our employees are. This is a direct result of the screen process that begins in Kathy's area. Kathy relates well to residents and has shown interest in learning more about the operations of the Health Care Center. The board is very pleased with the professionalism that Kathy brings to the HR Committee Meetings and the content of her reports is excellent. They consistently give positive accolades and feedback regarding her style and results.

➤ **EXPECTED CONTRIBUTION: INNOVATIVENESS/STRATEGIC PLANNING**

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li>○ Generates new ideas related to improving department operations and/or that of Waverly</li> <li>○ Completes goals and objectives timely and in quality manner for the annual Leadership Plan</li> </ul> | <ul style="list-style-type: none"> <li>○ Possesses ability to think beyond the current time and to develop programs, services, and amenities for the future</li> </ul> |
|---|--|

**Describe actual performance and accomplishments:**

Pursuing my NHA has allowed WHL to have options to consider in its future. I continuously look for new ideas and programs across department lines that will enhance the overall Waverly experience for employees, residents and guests.

**Self-Evaluation Rating: 4.5**

**Supervisor Rating: 4**

**Supervisors Evaluation Comments:**

Kathy is always thinking about ways to enhance our employee experience at Waverly Heights. She takes very seriously her part in making Waverly a best place to work. She strategically comes up with new programs, events, trainings, etc. that keep the work life fresh for our team. I would like to see Kathy find a way to create an employee fitness room where staff can work on healthy lifestyle choices.

Waverly-0024



**Other Accomplishments:** Use this section to identify any development goals or special one-time accomplishments that went beyond the regular job expectations and are not covered elsewhere in this document.

Recruitment of new CFO. Restructuring of the Business Office: Anne Rogers, Jian Tang  
 January Management Team Meeting  
 Benefit Renewal and Open Enrollment  
 Length of Service Luncheon  
 Name the New Employee Café Contest  
 Opening of the Pineapple Grille  
 4<sup>th</sup> of July Picnic  
 Reorganization of the Morrison's Dining Team/ Justin Laymen, Charles Manley, Tamsen Grigonis, Colin Gallagher  
 Recruitment of Pam Johnson, Laura Freeman, Michael Reilly  
 Acquisition of Debi Best  
 Employee Handbook Revisions – attached  
 Implementation of the Electronic Communication Stations  
 CARF Accreditation / Oversaw Three Standards  
 HIPPA / Hitech Task Force  
 Security Task Force / New employee swipe badges and parking passes  
 Pursuing NHA License  
 Wellness Fair  
 HCC Grand Opening  
 Quarterly visits with NFP, Mutual of America, Freedom Credit Union  
 Overseeing the Marcia Stewart EEOC claim  
 Brian O'Neill Separation


**Personal Goals and Areas of Focus:**

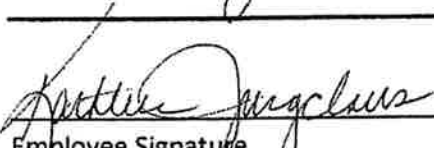
Achieve NHA Licensure  
 Risk Management

**Supervisor's Overall Comments:**

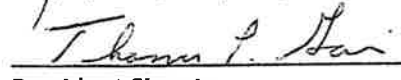
In reviewing the "other accomplishments" section of this evaluation it is noted just how much has been accomplished by Kathy over the last year. This list is remarkable given that all this was accomplished during a period of construction and expansion of our community. Kathy has been an incredible support to the President and has offered solid guidance and insight on a variety of matters. Kathy is motivated by continuing to learn and grow; therefore, we have supported her desire to pursue an NHA License. This will be achieved in 2014 and Kathy should take time to continue growing family with the many day-to-day challenges this position handles. I look forward to another great year with Kathy at the helm of our HR department! Thank you for all you do!

Waverly-0025


<b>Employee's Comments:</b>
I love my job! 

  
Employee Signature

12/20/13  
Date

  
President Signature

12/20/2013  
Date

## Q4 2013 Goals Update – Human Resources

Human Resource– 2013 Goals	THIRD QUARTER 2013 UPDATE
<p>1. <u>ENHANCE THE ANNUAL TRAINING AND NEW HIRE ORIENTATION PROGRAMS</u></p> <ul style="list-style-type: none"> <li>• Review and modify information provided during new hire orientation and annual training. Achieved</li> <li>• Initiate use of audio/visual enhancements and team building exercises to develop overall experience. Achieved</li> <li>• Introduce FISH. Achieved</li> </ul>	<p>Continuously reviewing the information provided during New Hire Orientation and Annual Training. Modifications are frequently changed when a state reg. is changed in some way. The use of the Theatre has been a tremendous benefit for staff. They get to enjoy the experience of the theatre while learning.</p> <p>FISH Training has been extremely well received and appears to be having an impact on the “fun” that employees can have at work.</p>
<p>2. <u>REVIEW, ASSESS AND IDENTIFY AREAS OF RISK TO WAVERLY HEIGHTS</u></p> <ul style="list-style-type: none"> <li>• Review, assess and update Risk Management Manual In progress</li> <li>• Evaluate and enhance Campus Security in conjunction with Security Supervisor and Safety Committee. Achieved</li> <li>• Conduct random security checks.</li> <li>• Develop Safety Training.</li> </ul>	<p>The Risk Management Manual will be reviewed as a part of the CARF accreditation project.</p> <p>I have worked with the Task Force on Campus Security and am near ready to roll out the new badges that will enable us to provide a safer campus. Senior Management Team has received their badges.</p> <p>Random Security checks were deemed unnecessary.</p> <p>Campus Safety Training will be tabled while I focus on FISH Training for this year.</p>

Waverly-0027

## Q4 2013 Goals Update -- Human Resources

3.	<p><u>ENSURE THE RECRUITMENT, TRAINING AND RETENTION OF STAFF REQUIRED UPON THE COMPLETION OF PHASE III OF THE HEALTH CARE CONSTRUCTION</u></p> <p>Achieved</p>	<p>Actively working with the Directors of Dining and Health Care to ensure appropriate staffing that is within budget.</p>
4.	<p><u>WORK TOWARD ATTAINING "BEST PLACES TO WORK IN PA" RECOGNITION FOR 2013</u></p> <ul style="list-style-type: none"> <li>• Promote Health and Wellness. Achieved</li> <li>• Obtain email addresses. Ongoing</li> <li>• Quarterly "Meet and Greet".</li> <li>• Install and utilize electronic communication station. Achieved</li> </ul>	<p>Successfully Achieved BPTW Status 3<sup>rd</sup> consecutive year.</p> <p>The annual Health and Wellness Fair was very well attended and well received.</p> <p>Using New Hire Fish Training as an opportunity to meet new staff and discuss their experience at WHL.</p> <p>Fully utilizing the Electronic Communication Station in order to get broad cast messages out to the employees.</p>

Waverly-0028

## Q4 2013 Goals Update – Human Resources

5.	<p>Additional Accomplishments</p> <p>Recruitment of new CFO. Restructuring of the Business Office: Anne Rogers, Jian Tang</p> <p>January Management Team Meeting</p> <p>Benefit Renewal and Open Enrollment</p> <p>Length of Service Luncheon</p> <p>Name the New Employee Café Contest</p> <p>Opening of the Pineapple Grille</p> <p>4<sup>th</sup> of July Picnic</p> <p>Reorganization of the Morrison's Dining Team/ Justin Laymen, Charles Manley, Tamsen Grigonis, Colin Gallagher</p> <p>Acquisition of Debi Best</p> <p>Employee Handbook</p> <p>Social Media Policy</p> <p>CARF Accreditation / Oversaw three Standards</p> <p>HIPPA / Hitech Task Force</p> <p>Pursuing NHA License</p>
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Waverly-0029



## Q4 2013 Goals Update – Human Resources

[illegible]

Waverly-0030

**RATING FORM****HIGHLY CONFIDENTIAL**

Director Name: Kathy Junglaus

Date: 11/19/2014**Senior Management Evaluation Form**

Please consider and rate yourself on each individual performance criteria as well as provide an overall rating.

**PERFORMANCE CRITERIA**

<b>3 – Exceeds expectations</b> <b>2 – Meets expectations</b> <b>1 – Requires improvement</b>
---

1. Execution of the operating, labor and capital budget

Rating: 2 and comments:Consistently under budget

2. Ability to identify opportunities for the organization's cost-effective growth.

Rating: 3 and comments:Effective management of the workers comp program results in return in investment.

3. Successful completion of department goals and initiatives.

Rating: 2 and comments:Diligently works with department staff and across department lines to complete goals.

4. Demonstration of innovativeness and strategic planning.

Rating: 2 and comments:Consistently works to be creative and proposes new ideas that benefits WHL staff and programs.

**RATING FORM****HIGHLY CONFIDENTIAL**

5. Leadership and development of department staff, including improving overall strength, skills, depth, teamwork.

Rating: 3 and comments:

Successful promotion and development of Jennifer and greatly enhanced the  
department.

6. Familiarity with departments total operations with an understanding of the key issues and opportunities.

Rating: 3 and comments:

The breadth of knowledge that I have of all departments allows me to be an asset to the organization and a versatile employee.

Overall Rating: 2.5

Additional Comments: I believe that the development and implementation of the FISH Training Program has genuinely begun to change the culture of WHL. The positive reception of the program and ongoing recognition have had a significant impact on staff. This program truly does allow us to approach problems differently and promotes a language that is positive.

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SENIOR MANAGEMENT EVALUATION FORM | Waverly Heights

# RATING FORM

HIGHLY CONFIDENTIAL

## EXPECTATIONS

Self-Rating President Rating

	Exceeds 3	Meets 2	Requires Improvement 1	Exceeds 3	Meets 2	Requires Improvement 1	Presidents' Comments
<b>JOB SKILLS AND KNOWLEDGE</b>							
Has practical, technical and professional skills required for the job.		2		X			Kathy has a terrific skill set and knowledge with respect to her position. I count on her for her guidance and leadership when it comes to challenging employee related issues.
Has sufficient knowledge and experience of all aspects of business operations to make informed decisions within the scope of responsibility.		2			X		She is current with best practices and keeps President informed of changes in laws or best practices.
Keeps up to date with best practices and new developments.		2			X		Kathy works very closely with our Labor attorney to ensure our Policy and Procedures for HR are sound and current. Will look for Kathy to assist in taking active role in a restructured Safety Committee in 2015.
Ensures hiring and training procedures, including EEO, are followed.		2			X		
Ensures safety and security practices and procedures are followed		2			X		
<b>Section Overall Rating ( Total Ratings /5)</b>		2					
<b>PLANNING AND ORGANIZATION</b>							
Sets precise, measurable goals that are realistic, challenging and compatible with company goals.		2			X		Kathy plan and organizes her work in an effective manner. She has done a great job organizing all the various employee events that occur throughout the year.
Manages time effectively.		2			X		She is also instrumental in managing the annual Best Places to Work Employee Survey. We should do a benefit survey in 2015.
Anticipates problems and plans accordingly; acts versus reacts.		2			X		
Delegates responsibility appropriately.		2			X		
Able to prioritize work. Sets realistic deadlines for self and others and ensures deadlines are met		2			X		
<b>Section Overall Rating ( Total Ratings /5)</b>		2					
<b>BUDGET ADMINISTRATION</b>							
Ability to develop, manage labor budget.		2		X			Kathy manages the HR budget within allocated amounts. She does a wonderful job managing

SENIOR MANAGEMENT EVALUATION FORM | Waverly Heights

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**RATING FORM****HIGHLY CONFIDENTIAL**

Utilizes forecasting in planning, staffing and cost control.		2			X	our benefits programs and has assisted in keeping cost increases to a minimum. Her management of our Worker's Comp programs has resulted in very favorable results. She had to step in and assist with a very challenging WCA comp claim this past year. Kathy will now be involved in every claim filed by both WHL and WCA. Kathy is highly informed and aware of any and all employee injuries. She works very diligently on getting employees back to work ASAP. The resulting financial impact continues to be very positive.
<b>Section Overall Rating ( Total Ratings /2)</b>		2				

**EXPECTATIONS**

Self-Rating President Rating

	Exceeds 3	Meets 2	Requires Improvement 1	Exceeds 3	Meets 2	Requires Improvement 1	Presidents' Comments
<b>TRAINING AND DEVELOPMENT</b>							
Ensures new employees are fully trained on all aspects of the job.		2			X		Is current with her Silverchair and stays on top of employees to make sure they stay current. Has also assisted departments in increasing their department specific trainings. Instituted FISH training which has added to the overall spirit of teamwork and cooperation among staff.
Provides clear, objective and timely feedback to employees	3			X			Congratulations on identifying
Identifies promotable employees and provides necessary training.	3			X			
Takes responsibility for his/her own training and development. (Silver chair & Annual)		2			X		

SENIOR MANAGEMENT EVALUATION FORM | Waverly Heights

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**RATING FORM****HIGHLY CONFIDENTIAL**

									and promoting Jen. Internal candidate promotion was a priority for Kathy and has worked out extremely well.
<b>Section Overall Rating ( Total Ratings /4)</b>						2.5			
<b>COMMUNICATIONS</b>									Kathy is a very good communicator. She keeps President informed of important issues impacting the employees. She also does a solid job of stating her position on important topics/issues. She interacts very positively with her peers. Her direct reports are informed and aware of our Leadership and Strategic Plan goals and objectives. Her written communications are done in a quality manner.
Presents ideas and information in a concise, well organized way.						2		X	
Listens; concentrates on information presented; takes action.						2			X
Informs supervisor, peers and employees in a timely manner.						2			X
Holds well organized and effective meetings.						2			
Participates actively in meetings; makes meaningful contributions.						2		X	
<b>Section Overall Rating ( Total Ratings /5)</b>						2			
<b>LEADERSHIP &amp; MANAGEMENT</b>									Kathy is confident and consistent in her leadership and management style. She represents Waverly in a very positive fashion and employees truly appreciate her presence. She demonstrates excellent interpersonal skills. She holds people accountable for their actions and consistently follows or Policies and Procedures. She also identifies critical employee needs and utilized the resources of WHL to assist employees in need. I would like to see Kathy
Takes charge of people/events; assumes leadership in a positive way.						2			X
Asks for and is responsive to feedback on own management style.						2			X

Waverly

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SENIOR MANAGEMENT EVALUATION FORM | Waverly Heights

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**HIGHLY CONFIDENTIAL**

Kathy can be counted on for intelligent well thought out feedback on topics at Senior Management Meetings. Her input is valued by her peers and she is always a good resource on a variety of operational issues

## EXPECTATIONS

Self-Rating			President Rating			Presidents' Comments
Exceeds 3	Meets 2	Requires Improvement 1	Exceeds 3	Meets 2	Requires Improvement 1	
<b>LEADERSHIP &amp; MANAGEMENT</b>						
3			X			Managed through some very difficult employee situations involving some long-term staff. Very positive outcome related to Kathy's handling of the various situations.
3			X			
	2			X		
	2.4					
<b>Section Overall Rating (Total Ratings /5)</b>						
<b>ENTREPRENEURIAL SKILLS</b>						
	2		X			Kathy constantly is looking for new ways to do things. She uses her creativity to develop different employee related programs. FISH recognition has been the most recent effort to recognize staff in a positive way. Continue to look at ways to recognize staff globally through community wide recognition program. Perhaps we can consider an "Employee of the
	2			X		
	2			X		
	2					

# SENIOR MANAGEMENT EVALUATION FORM | Waverly Heights

**RATING FORM****HIGHLY CONFIDENTIAL**

									Month" program in 2015. Consider luncheon for recipients of FISH/EoM and scholarships. Kathy can be counted on for making good decisions in both times of crisis. and normal operations.
<b>Section Overall Rating ( Total Ratings /3)</b>						2			
<b>TEAMWORK</b>									
Motivates others, creates enthusiasm for team effort						2		X	I consider Kathy a very important and strong team member. She works well with her peers and is willing to take on tasks outside the scope of her specific job responsibilities.
Sets a model for teamwork.		3						X	Kathy does a great job developing and executing team building activities for our management team during our Leadership Team Meetings.
Is an effective team builder promoting strong working relationships.		3						X	
Periodically plans activities to develop teamwork and pride.						2		X	
<b>Section Overall Rating ( Total Ratings /4)</b>						2.5			

**EXPECTATIONS**

Self-Rating President Rating

	Exceeds 3	Meets 2	Requires Improvement 1	Exceeds 3	Meets 2	Requires Improvement 1	Presidents' Comments
<b>TEAMWORK</b>							
Sets a positive example for the team.		2			X		Waverly achieved Best Places to Work in PA status for the fourth year in a row. This is largely due to the work that comes out of the HR department under Kathy's leadership. This is a critical accomplishment for Kathy, her department, and the entire community.
Recognizes employees on a regular basis.		2			X		
Wholly participates in the retention efforts of WHHL staff.		2		X			

SENIOR MANAGEMENT EVALUATION FORM | Waverly Heights

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**RATING FORM****HIGHLY CONFIDENTIAL**

Section Overall Rating ( Total Ratings /3)							
<b>CUSTOMER SERVICE</b>							
Takes initiative to inquire about staff and resident needs and opinions.	2					X	Demonstrates good customer service skills in meeting the needs of staff, residents, and vendors. Kathy is friendly, interactive, and highly visible to the community.
Interacts with staff and residents frequently including attending functions.	2					X	
Encourages and develops customer service skills in employees.	2					X	
Effectively handles and responds to complaints.	2					X	
Maintains a visible presence throughout the community.	2					X	
Promotes the FISH Philosophy.	3					X	
<b>Section Overall Rating ( Total Ratings /6)</b>	<b>2.2</b>						

**TRANSFER PERFORMANCE LEVEL****RATINGS FROM ABOVE**

	OVERALL RATINGS					OVERALL RATINGS		
Performance Criteria Overall Rating (pg. 2)	3	2	1	Communications		3	2	1
Job Skills and Knowledge	3	2	1	Leadership and Management		3	2	1
Planning and Organization	3	2	1	Entrepreneurial Skills		3	2	1
Budget Administration	3	2	1	Teamwork		3	2	1
Training and Development	3	2	1	Customer Service		3	2	1
<b>**Overall Performance Level</b>						3	2	1

**\*\*Overall performance rating Instructions: Sum of above overall ratings divided by 10.****Summary and Compensation**Director's Name: Kathy Jungclauss Title: Director of Human Resources

Evaluation Period: 12/2013 to 12/2014

Self-Evaluation Overall Rating: 2



**RATING FORM****HIGHLY CONFIDENTIAL**President Overall Rating: 2.4 (99/42)

Completed by President:

Current Pay Rate: \$112,909 Market Value: \$111,967 C/R: 1.01  
 % of Increase: 3.25% +\$3,670 2015 Pay Rate: \$116,579 New C/R: 1.04

Comments: \_\_\_\_\_

President's Comments:

It continues to be a pleasure to have Kathy on our team. Her knowledge in the area of Human Resources has greatly benefited the organization over the past year. Kathy's ability to balance accountability of staff with a "fun" environment is a great asset. Under Kathy's leadership we have been named a Best Place to Work for the 4<sup>th</sup> year in a row. Kathy has been a meaningful contributor to our many success during 2014. I look forward to seeing what Kathy and the HR department will achieve in 2015.

T. Ramos P. H.  
 President

12/30/14  
 Date

Kathy Jungblut  
~~President~~  
 V.P. HR

12/30/14  
 Date

Waverly 2019

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SENIOR MANAGEMENT EVALUATION FORM | Waverly Heights





Director Name: Kathy Jungclaus

Date: 11/19/2015

## Senior Management Evaluation Form

Please consider and rate yourself on each individual performance criteria as well as provide an overall rating.

### PERFORMANCE CRITERIA

<p>3 - Exceeds expectations 2 - Meets expectations 1 - Requires improvement</p>
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1. Execution of the operating, labor and capital budget

Rating: 2 and comments:  
Effectively manages operating and labor budget

2. Ability to identify opportunities for the organization's cost-effective growth.

Rating: 3 and comments:  
Effective management of the workers comp program results in return in investment of \$107,000.00. Utilizes creative recruitment tools to minimize costs

3. Successful completion of department goals and initiatives.

Rating: 2 and comments:  
See attached Goal update

4. Demonstration of innovativeness and strategic planning.

Rating: 3 and comments:  
Committed to keeping things "fresh" for the staff of WHL by refining and developing programs of interest. The ongoing creation of programs and trainings sets us apart from other communities and drives us forward in our strategic plan initiatives.

*Jackie as manager  
- Develop her team Jan - Dec*

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**RATING FORM****HIGHLY CONFIDENTIAL**

5. Leadership and development of department staff, including improving overall strength, skills, depth, teamwork.

Rating: 3 and comments:

Both Jacquie and Jennifer continue to grow in their areas. Both accept additional responsibility when asked and we approach stressful times as a team and work together to get it done. \_

6. Familiarity with departments total operations with an understanding of the key issues and opportunities.

Rating: 3 and comments:

I know the ins and outs of every department. I am a resource for every senior manager and supervisor, whether it is policy or procedure questions, employee relation issues, conflicts etc. There is no limit to the support that I provide on a daily basis. In addition, I am responsible for the training of all WHL staff and WCA staff on an annual basis (approx. 500 employees). I am available to every employee, every day.

**Additional Comments:** This past year has been taxing for me. I have been a sounding board and support system through many changes at the management team level. From Dining Services (Jim, James, Maria) to Healthcare (Meredith, Linda, Jackie, Theresa). Each of these transitions created their own individual set of employee relation issues. I worked directly with each individual to ensure a smooth transition in both the leadership and with the direct reports. I directed the managers of Dining Services in handling the multiple fights in the HCC kitchen that resulted in numerous employee relations issues and terminations in the department.

Effectively handled multiple lawsuits (Marcia Stewart, Tina Cosby) and oversaw numerous difficult terminations (Rob Hluchan, Tina Ajirobi, Leslie Shaw, Subrina Milton). Efficiently oversaw the difficult and sensitive issue between Kim and Darryl.

Assisted in the implementation of Rehab Care and recruitment of the Rehab Care staff including the successful transition with Deb Porcelli and John Adams. I work directly with Linda Z on all Rehab Care employee related issues.

Worked with the HCC Leadership Team on cross training positions; and developing more effective Pool and on call requirements. Participated in weekly staffing meeting to ensure a cohesive system of managing staff; their time worked, call outs and performance related issues. These meetings have allowed for more efficiency between the HCC and the Human Resources Department. Worked with the HCC management team on the delicate transition of Julie Bedeau as Scheduler and Marcia Price as medical records.

Attended many C.N.A; Nursing, Housekeeping and Dining Services Department meetings in order to demonstrate a presence, answer questions, solicit information and present a unified message with department leaders.

**RATING FORM****HIGHLY CONFIDENTIAL**

Developed new training programs: Workplace Violence and Bullying are currently being conducted during New Hire and Annual Training; developed this year's FISH training on "Play".

Enhanced the FISH recognitions to include a FISH Employee of the Month; created and maintain the FISH recognition board.

In conjunction with the president, worked with the Risk Assessment Sub Committee of the Audit Committee of the Board of Trustees; on developing a direction for the committee. This included multiple meetings with Trustees to delicately balance their ideas on how information be presented and the end result. Worked directly with the VP of HCC, Director of Dining Services, and Director of Housekeeping on identifying their areas of risk and determining their heat map sensitivities.

Worked with Bob Supper and the Blue Orange Group on the development of the HIPAA / HITECH policies. This includes modifying over 50 policies, developing the mandatory training information for implementation in New Hire and Annual Trainings. Assigned HIPAA sensitivity levels to all job profiles.

Assumed the responsibility of the Safety Committee. This includes revamping the members, enhancing the reporting structure, creating a "Safety Award". Participated in a Risk Assessment Audit by Gallagher Bassett and achieved a score of 93.5%.

Successfully utilized the Social Accountability software in order to fully capture the WHL Social Accountability footprint. Based on information to date the WHL Social Accountability footprint for WHL in 2015 is approximately \$25,000.

Continue to work on the transition from Paychex to AOD. This includes inputting all information in both the Paychex system and the AOD system. This double work will continue until April 2016 when the HR component of AOD will be implemented.

Undeviating oversight of the Worker's Compensation Program resulted in directly working with our attorneys on closing a case that has been lingering for three years. Managing losses resulted in a distribution of \$107,000.00 in September. To date WHL has paid \$550.00 in losses for 2015.

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SENIOR MANAGEMENT EVALUATION FORM | Waverly Heights

# RATING FORM

HIGHLY CONFIDENTIAL

## EXPECTATIONS

### Self-Rating      President Rating

	Exceeds 3	Meets 2	Requires Improvement 1	Exceeds 3	Meets 2	Requires Improvement 1	Presidents' Comments
<b>JOB SKILLS AND KNOWLEDGE</b>							
Has practical, technical and professional skills required for the job.	3			X			Kathy's technical and professional skills related to her job are excellent. She ensures compliance with all applicable HR laws, rules, and regulations. She helps to create an environment where people enjoy working.
Has sufficient knowledge and experience of all aspects of business operations to make informed decisions within the scope of responsibility.	3			X			She has done a lot to bring the Safety Committee to a better place as far as purpose and organization.
Keeps up to date with best practices and new developments.		2			X		She is passionate about training and staff development.
Ensures hiring and training procedures, including EEO, are followed.		2			X		
Ensures safety and security practices and procedures are followed		2			X		
<b>Section Overall Rating ( Total Ratings /5)</b>	<b>2.6</b>			<b>2.6</b>			
<b>PLANNING AND ORGANIZATION</b>							
Sets precise, measurable goals that are realistic, challenging and compatible with company goals.		2			X		Solid planning skills are demonstrated in the various employee events throughout the year.
Manages time effectively.	3			X			Maintains good work/life balance. Is available whenever a need arises.
Anticipates problems and plans accordingly; acts versus reacts.		2			X		I would like to see us pursue the Best Places To Work entering into the small business group. Hopefully we can demonstrate an improvement in certain department's scores.
Delegates responsibility appropriately.		2			X		
Able to prioritize work. Sets realistic deadlines for self and others and ensures deadlines are met		2			X		
<b>Section Overall Rating ( Total Ratings /5)</b>		<b>2.3</b>		<b>2.3</b>			

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**RATING FORM****HIGHLY CONFIDENTIAL**

<b>BUDGET ADMINISTRATION</b>									
Ability to develop, manage labor budget.	2							X	
Utilizes forecasting in planning, staffing and cost control.	2							X	
<b>Section Overall Rating ( Total Ratings /2)</b>		2						2.0	
The HR budget is consistently maintained within acceptable parameters. Kathy does a great job with the annual benefits renewal and we have been able to maintain our current level of benefits for staff over the last several years. Workers comp reimbursements were again very good this year. Kathy assisted in managing a particularly difficult WC issue related to a WCA employee. This issue was ultimately resolved, but has had a significant financial impact on the community this year and will impact us over the next few years via lower dividends.									

**EXPECTATIONS**

Self-Rating				President Rating			Presidents' Comments
Exceeds 3	Meets 2	Requires Improvement 1	Exceeds 3	Meets 2	Requires Improvement 1		
TRAINING AND DEVELOPMENT							
Ensures new employees are fully trained on all aspects of the job.	2			X		Excellent job with new hire and annual training. Involves all departments to keep the day exciting and informative. Continue to maintain good communication with WCA, especially regarding Worker's Compensation issues.	
Provides clear, objective and timely feedback to employees	3		X				
Identifies promotable employees and provides necessary training.	3		X				
Takes responsibility for his/her own training and	2			X			

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development. (Silver chair & Annual)									FISH training is loved by everyone. It has made a tremendous impact on our staff. Silver Chair is current. Employee evaluations are current.
<b>Section Overall Rating ( Total Ratings /4)</b>			2.5					2.5	
<b>COMMUNICATIONS</b>									
Presents ideas and information in a concise, well organized way.			2					X	Kathy and been heavily involved in some difficult employee situations that involved frequent and consistent communication with various parties. She does a great jobs pulling people together, discussing an issue, and bringing it to resolution.
Listens; concentrates on information presented; takes action.			2					X	Contributes in a meaningful way to senior management team meetings.
Informs supervisor, peers and employees in a timely manner.			2					X	
Holds well organized and effective meetings.			2					X	
Participates actively in meetings; makes meaningful contributions.			2					X	
<b>Section Overall Rating ( Total Ratings /5)</b>			2					2.0	
<b>LEADERSHIP &amp; MANAGEMENT</b>									
Takes charge of people/events; assumes leadership in a positive way.		3					X		Kathy managed through a challenging lawsuit filed by a former employee. The case was resolved this year and the result ended up favorably for WHL.
Asks for and is responsive to feedback on own management style.			2					X	Employee turnover continues to be extremely low.
									Excellent participation in assisting with the development of the Risk Assessment Committee and Program.

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# RATING FORM

HIGHLY CONFIDENTIAL

## EXPECTATIONS

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Self-Rating				President Rating			Presidents' Comments
Exceeds 3	Meets 2	Requires Improvement 1	Exceeds 3	Meets 2	Requires Improvement 1		
<b>LEADERSHIP &amp; MANAGEMENT</b>							
Identifies and resolves conflict/dissatisfaction issues.	3		X			Looking forward to full implementation of the new non-smoking policy beginning January 1, 2016.	
Treats all employees with fairness and respect.	3		X				
Meets customer satisfaction and manages employee turnover.	2			X			
Section Overall Rating ( Total Ratings /5)							
	2.6		2.6				
<b>ENTREPRENEURIAL SKILLS</b>							
Works independently; does not wait to be told what to do.	2			X		Kathy took on the goal of tracking social accountability for Waverly Heights. She has been working with her team to develop the tracking program and has been successful at moving this program forward. I encourage her to continue to grow this initiative and to keep it at the forefront of our organizational thinking. This is a critical area for WHL now and moving forward.	
Is progressive in outlook; initiates new approaches and ideas.	2			X			
Makes good decisions, can think on feet; avoids reliance on rules.	2			X			
Section Overall Rating ( Total Ratings /3)							
	2			2.0			
<b>TEAMWORK</b>							
Motivates others; creates enthusiasm for team effort	3		X			Kathy continues a great member of our team. She creates enthusiasm within our director team and seems to enjoy her	
Sets a model for teamwork.	3		X				

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Is an effective team builder promoting strong working relationships.	3			X						interactions with her peers.
Periodically plans activities to develop teamwork and pride.		2						X		Kathy assists in resolving many conflicts between other staff throughout the year. She is a solid neutral party who is often able to find middle ground and to walk staff through problem resolution.
<b>Section Overall Rating ( Total Ratings /4)</b>						2.7				

**EXPECTATIONS****Self-Rating      President Rating**

	Exceeds 3	Meets 2	Requires Improvement 1	Exceeds 3	Meets 2	Requires Improvement 1	Presidents' Comments
<b>TEAMWORK</b>							
Sets a positive example for the team.	3			X			
Recognizes employees on a regular basis.		2			X		
Wholly participates in the retention efforts of WHL staff.	3			X			
<b>Section Overall Rating ( Total Ratings /3)</b>				2.7			
<b>CUSTOMER SERVICE</b>							
Takes initiative to inquire about staff and resident needs and opinions.		2			X		Kathy has excellent interpersonal skills and that lends to terrific interactions with residents and staff.
Interacts with staff and residents frequently including attending functions.	3			X			Most new hires that come through the HR office demonstrate the personality traits that we look for in our employees.
Encourages and develops customer service skills in employees.		2			X		Kathy's emphasis on the FISH program and training has been
Effectively handles and responds to complaints.	3			X			
Maintains a visible presence throughout the community.	3			X			
Promotes the FISH Philosophy.	3			X			

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**RATING FORM*****HIGHLY CONFIDENTIAL***

exceptionally well received by our staff. There is a nice feel about the community that permeates throughout the community. Utilizing the FISH Bowls for comments from staff and residents has been exceptionally well received. Posting of the cards is excellent way for staff to be recognized publically. Employee events throughout the year continue to industry leading examples of how to show care for employees. Great work!					
Section Overall Rating ( Total Ratings /6)					
2.8					

**TRANSFER PERFORMANCE LEVEL****RATINGS FROM ABOVE****OVERALL RATINGS**

OVERALL RATINGS				OVERALL RATINGS			
Performance Criteria Overall Rating (pg. 2)	3	2	1	Communications	3	2	1
Job Skills and Knowledge	3	2	1	Leadership and Management	3	2	1
Planning and Organization	3	2	1	Entrepreneurial Skills	3	2	1
Budget Administration	3	2	1	Teamwork	3	2	1
Training and Development	3	2	1	Customer Service	3	2	1
**Overall Performance Level							

**\*\*Overall performance rating Instructions:** Sum of above overall ratings divided by 10.

**Summary and Compensation**

Director's Name: Kathy Jungclauss Title: Vice President, Human Resources

Evaluation Period: 12/2014 to 12/2015

Self-Evaluation Overall Rating: 2.8

**RATING FORM****HIGHLY CONFIDENTIAL**President Overall Rating: 2.8

Notes: It was another successful year for our Human Resources Department under Kathy's Leadership. Employee moral continues to be very good. Employee events and training are very strong. Good focus on safety, workers, compensation, and risk assessment has made a tremendous impact within the community. Kathy did a great job handling a multitude of challenging situations with employees throughout the year. She was able to support the various managers and directors with these challenges and ultimately resolve them with a positive outcome.



President

12/12/16

Date



Director

12/17/15

Date

**Completed by President:**Current Pay Rate: 116,579 2016 Market Value: 114,774% of Increase: 3.5% 2016 Pay Rate: 120,659 (+4,080) New C/R: 1.05Comments: Discretionary Bonus of \$2,500

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